

Document Pack



Mark James LLM, DPA, DCA
Prif Weithredwr,
Chief Executive,
Neuadd y Sir, Caerfyrddin. SA31 1JP
County Hall, Carmarthen. SA31 1JP

TUESDAY, 16 OCTOBER 2018

TO: ALL MEMBERS OF THE EXECUTIVE BOARD

I HEREBY SUMMON YOU TO ATTEND A MEETING OF THE **EXECUTIVE BOARD** WHICH WILL BE HELD IN THE **CHAMBER, COUNTY HALL, CARMARTHEN AT 10.00 AM, ON MONDAY, 22ND OCTOBER, 2018** FOR THE TRANSACTION OF THE BUSINESS OUTLINED ON THE ATTACHED AGENDA

Mark James CBE

CHIEF EXECUTIVE



PLEASE RECYCLE

Democratic Officer:	Janine Owen
Telephone (direct line):	01267 224030
E-Mail:	JanineOwen@carmarthenshire.gov.uk
Ref:	AD016-001

EXECUTIVE BOARD

MEMBERSHIP - 10 MEMBERS

Councillor	Portfolio
Emlyn Dole	Leader Corporate Leadership and Strategy; Chair of Executive Board; Represents Council at WLGA; Economic Development Represents the Council on the Swansea Bay City Region; Collaboration; Marketing and Media; Appoints Executive Board Members; Determines EBM Portfolios; Liaises with Chief Executive; Public Service Board
Mair Stephens	Deputy Leader Council Business Manager; Human Resources; Performance Management; Wales Audit; Training; I.C.T.; T.I.C. (Transformation, Innovation and Change); Strategic Planning
Cefin Campbell	Communities and Rural Affairs Rural Affairs and Community Engagement; Community Safety; Police; Counter-Terrorism and Security Act 2015; Tackling Poverty; Wellbeing of Future Generations; Third Sector Liaison ;Equalities
Glynog Davies	Education and Children Schools; Children's Services; Special Education Needs; Safeguarding; Respite Homes; Regional Integrated School; Improvement Service; Adult Community Learning; Youth Services; School Catering Services, Lead Member for Children and Young People; Youth Ambassador
Hazel Evans	Environment Refuse; Street Cleansing; Highways and Transport Services; Grounds Maintenance; Building Services; Caretaking; Building Cleaning; Emergency Planning; Flooding
Linda Evans	Housing Housing – Public; Housing – Private, Ageing Well
Peter Hughes Griffiths	Culture, Sport and Tourism Town and Community Councils Ambassador; Development of the Welsh Language; Theatres; Sports; Leisure Centres; Museums; Libraries; Country Parks; Tourism.
Philip Hughes	Public Protection Trading Standards; Environmental Health. Environmental Enforcement; Planning enforcement; Unlicensed Waste; Parking Services; Bio diversity
David Jenkins	Resources Finance & Budget; Corporate Efficiencies; Property/Asset Management; Procurement; Housing Benefits; Revenues; Statutory Services (Coroners, Registrars, Electoral, Lord Lieutenancy); Armed Forces Champion Contact Centres and Customer Service Centres
Jane Tremlett	Social Care & Health Adult Social Services; Residential Care; Home Care; Learning Disabilities; Mental Health; NHS Liaison/Collaboration/ Integration; Care Home Catering Services, Carers' Champion; Dementia Care Champion; Disability Ambassador

A G E N D A

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| 15. ANY OTHER ITEMS OF BUSINESS THAT BY REASONS OF SPECIAL CIRCUMSTANCES THE CHAIR DECIDES SHOULD BE CONSIDERED AS A MATTER OF URGENCY PURSUANT TO SECTION 100B(4)(B) OF THE LOCAL GOVERNMENT ACT, 1972. | |

NB: Reports are only printed in black and white to reduce costs. All reports however are available on-line so that members of the Committee / County Council and the public can view photographs/graphs in colour

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EXECUTIVE BOARD

Monday, 24 September 2018

PRESENT: Councillor E. Dole (Chair)

Councillors:

C.A. Campbell, G. Davies, H.A.L. Evans, D.M. Jenkins, L.M. Stephens, P.M. Hughes and P. Hughes-Griffiths

Also in attendance:

Councillor A.G. Morgan

The following Officers were in attendance:

J. Morgan, Director of Community Services
C. Moore, Director of Corporate Services
Mrs R. Mullen, Director of Environment
G. Morgans, Director of Education & Children's Services
W. Walters, Director of Regeneration & Policy
L.R. Jones, Head of Administration and Law
D. Hockenhull, Marketing and Media Manager
I.R. Llewelyn, Forward Planning Manager
S Burford, Project Manager
K. Thomas, Democratic Services Officer

Chamber, County Hall, Carmarthen - County Hall, Carmarthen. SA31 1JP. - 10.00 - 10.40 am

1. APOLOGIES FOR ABSENCE.

Apologies for absence were received from Councillors L.D. Evans and J. Tremlett.

2. DECLARATIONS OF PERSONAL INTEREST.

There were no declarations of personal interest.

3. TO SIGN AS A CORRECT RECORD THE MINUTES OF THE MEETING OF THE EXECUTIVE BOARD HELD ON THE 30TH JULY 2018

UNANIMOUSLY RESOLVED that the minutes of the meeting of the Executive Board held on the 30th July be signed as a correct record.

4. QUESTIONS ON NOTICE BY MEMBERS

The Chair advised that no questions on notice had been submitted by members.

5. PUBLIC QUESTIONS ON NOTICE

The Chair advised that no public questions had been received.

6. DRAFT - CARMARTHENSHIRE COUNTY COUNCIL'S ANNUAL REPORT FOR 2017/18

The Executive Board considered the Council's Draft Carmarthenshire County Council's Annual Report for 2017/18 produced in accordance with the requirements of both the Local Government (Wales) Measure 2009 and the Well-being of Future Generations (Wales) Act 2015. It was noted the report was the first of the Council's Annual Reports to incorporate outcomes on its Well-Being Objectives and provided:-

- An overview of the 2017/18 performance,
- Two page progress reports for each of the 15 Well-being Objectives,
- A link to track progress on every specific action and target set for each Well-being objective,
- Within the appendices, other performance information on Out-turn data and National Survey for Wales Results.

The Executive Board noted that although the report had been considered by the Council's scrutiny committees, the appendices thereto had been amended subsequent to that consideration for the purpose of updating the Out-Turn Data and National Survey for Wales' results, which had not been available at the time of drafts' preparation.

Reference was made to Well-being Objective No. 9 – Live Well/Age Well and to whether the report could be amended to incorporate the innovative work being undertaken in the Tyisha Ward of Llanelli by the Tyisha Steering Group to tackle poverty. It was confirmed the report could be amended accordingly.

UNANIMOUSLY RESOLVED TO RECOMMEND TO COUNCIL that the Draft – Carmarthenshire County Council Annual Report for 2017/18 be approved.

7. COMPLAINTS & COMPLIMENTS ANNUAL REPORT 2017/18

The Executive Board considered the Council's Annual Complaints and Compliments report for the period 2017/18. It was noted the report detailed:-

- the numbers of complaints investigated and responded to between April 2017 – March 2018 by department,
- statistics on communications received by the Complaints Team and redirected. Those related to enquiries and requests for assistance which, once presented, offered the opportunity to try and rectify difficulties before complaints arose,
- complaints with any equalities or Welsh language issues,
- complaints determined by the Ombudsman,
- analysis of complaints and compliments by department.

It was noted that whilst the report captured the complaints and compliments for the authority, complaints relating to Adult Social Care matters had, as of 2017/18, been managed separately by the Communities Department. A full end of year report thereon had been presented to the Social Care and Health Scrutiny Committee on the 21st May, 2018 and figures and analysis with regard thereto had been included within the Authority's Annual Report.

The Board was also advised that whilst the report contained details of complaints and compliments received from service users/members of the public, future reports would incorporate complaints/compliments received from the authority's elected members.

UNANIMOUSLY RESOLVED that the Complaints and Compliments Annual Report 2017/18 be approved.

8. ANNUAL MONITORING REPORT 2017/18 ADOPTED CARMARTHENSHIRE LOCAL DEVELOPMENT PLAN

The Executive Board considered the Carmarthenshire Local Development Plan Annual Monitoring Report (AMR) 2017/18 which had been prepared in accordance with the provisions of the Planning and Compulsory Purchase Act 2004 and the Local Development Plan (LDP) Regulations 2005 and was required to be submitted to the Welsh Government by the 31st October, 2018

It was noted that the report had been considered and accepted by the Community Scrutiny Committee at its meeting held on the 21st September, 2018.

UNANIMOUSLY RESOLVED TO RECOMMEND TO COUNCIL THAT IT:-

- 8.1 receives and accepts the content of the third Annual Monitoring Report for the Carmarthenshire Local Development Plan – as required for submission to the Welsh Government by 31st October 2018.**
- 8.2 Grants officers delegated authority to make typographical or factual amendments as necessary to improve the clarity and accuracy of the AMR**

9. TO NOTE THAT THE PLAID CYMRU GROUP HAS NOMINATED COUNCILLOR KAREN DAVIES TO FILL THEIR VACANCY ON THE CONSORTIUM OF LOCAL AUTHORITIES IN WALES

The Executive Board was advised that the Council's Plaid Cymru Group had nominated Councillor Karen Davies to fill its vacancy on the Consortium of Local Authorities in Wales.

UNANIMOUSLY RESOLVED to note that Councillor Karen Davies had been appointed by the Plaid Cymru Group to fill its vacancy on the Consortium of Local Authorities in Wales.

10. TO NOTE THAT THE LABOUR GROUP HAS NOMINATED COUNCILLOR ROB JAMES TO REPLACE COUNCILLOR JOHN PROSSER ON THE WELSH LANGUAGE ADVISORY PANEL

The Executive Board was advised that the Council's Labour Group had nominated Councillor Rob James to replace Councillor John Prosser as its representative on the Welsh Language Advisory Panel.

UNANIMOUSLY RESOLVED to note that Councillor Rob James had been appointed by the Labour Group to replace Councillor John Prosser as its representative on the Welsh Language Advisory Panel.

11. **ANY OTHER ITEMS OF BUSINESS THAT BY REASONS OF SPECIAL CIRCUMSTANCES THE CHAIR DECIDES SHOULD BE CONSIDERED AS A MATTER OF URGENCY PURSUANT TO SECTION 100B(4)(B) OF THE LOCAL GOVERNMENT ACT, 1972.**

The Chair reported that there were no items of urgent business.

12. **EXCLUSION OF THE PUBLIC**

UNANIMOUSLY RESOLVED, pursuant to the Local Government Act 1972, as amended by the Local Government (Access to Information)(Variation) (Wales) Order 2007, that the public be excluded from the meeting during consideration of the following items as the reports contained exempt information as defined in paragraph 14 of Part 4 of Schedule 12A to the Act.

13. **LLANELLI WELLNESS AND LIFE SCIENCE VILLAGE**

Following the application of the public interest test it was **UNANIMOUSLY RESOLVED**,

That pursuant to the Act referred to in Minute 12 above, to consider this matter in private, with the public excluded from the meeting as the report contained detailed financial information and legal opinion. Although the public interest would normally favour transparency and openness and the publication of reports, that was outweighed in this instance by the public interest in maintaining confidentiality because whilst a large part of the information in the report was background and factual, details of partners who may potentially engage in aspects of the project, whose own innovations and commercial interests would be jeopardised by disclosing their identities at this stage of the process, are identified in the report.

The Executive Board considered a report on the provision of the Llanelli Wellness and Life Science Village.

UNANIMOUSLY RESOLVED that the recommendations, as detailed within the report, be approved.

CHAIR

DATE

EXECUTIVE BOARD 22ND OCTOBER 2018

CAPITAL PROGRAMME 2017-18 UPDATE

Purpose:

To report the variances within the capital programme

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

That the capital programme update report is received.

REASONS:

To provide Executive Board with an update of the latest budgetary position for the 2018/19 capital programme, as at the 30th June 2018.

Relevant scrutiny committees to be consulted N/A

Exec Board Decision Required YES

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr. David Jenkins - Resources

Directorate: Corporate Services Name of Director of Corporate Services: Chris Moore Report Author: Chris Moore	Designation: Director of Corporate Services	Tel No. 01267 224120 E Mail Address: Cmoore@carmarthenshire.gov.uk
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EXECUTIVE SUMMARY

EXECUTIVE BOARD

22ND OCTOBER 2018

CAPITAL PROGRAMME 2017-18 UPDATE

This report provides members with an update on the Capital programme spend against budget for 2018/19 as at the 30th June 2018.

Appendix A which is shown departmentally, shows a forecasted net spend of £62,301k compared with a working net budget of £60,757k giving a **£1,544k** variance.

The net budget has been re-profiled by £3.81m from 2018/19 to future years to take account of updated spend profile information and the budget slippage from 2017/18 is also included within the attached figures.

There is also an Education and CS budget re-profiling exercise currently being undertaken to reflect the progress of schemes within the 5 year capital programme on the MEP programme.

Appendix B details the main variances within each department.

DETAILED REPORT ATTACHED?

YES :-
Appendix A
Appendix B

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: **C.Moore**

Director of Corporate Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	NONE	YES	NONE	NONE	NONE	YES

Finance

The capital programme shows an in year variance of **+£1,544m**, which will be re-profiled across the future years of the capital programme.

Physical Assets

The capital programme will have an impact on the physical assets of the Authority.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: **C. Moore**

Director of Corporate Services

1. Scrutiny Committee

Relevant Scrutiny Committees will be consulted.

2. Local Member(s) N/A

3. Community / Town Council N/A

4. Relevant Partners N/A

5. Staff Side Representatives and other Organisations N/A

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THERE ARE NONE

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2018-19 Capital Programme		Corporate Services Dept, County Hall, Carmarthen

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Capital Programme 2018/19							
Capital Budget Monitoring - Report for June 2018							
	Working Budget			Forecasted			Variance for Year £'000
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000	
DEPARTMENT							
COMMUNITIES							
- Public Housing	23,125	-6,190	16,935	22,953	-6,209	16,744	-191
- Private Housing	2,120	-223	1,897	2,147	-250	1,897	0
- Social Care	704	0	704	718	-12	706	2
- Leisure	7,289	-170	7,119	7,184	-120	7,064	-55
ENVIRONMENT	20,960	-4,395	16,565	21,001	-4,412	16,589	24
EDUCATION & CHILDREN	13,585	-6,491	7,094	15,055	-6,197	8,858	1,764
CHIEF EXECUTIVE	1,393	0	1,393	1,393	0	1,393	0
REGENERATION	12,078	-3,028	9,050	11,078	-2,028	9,050	0
TOTAL	81,254	-20,497	60,757	81,529	-19,228	62,301	1,544

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EXECUTIVE BOARD

22ND OCTOBER 2018

COUNCIL'S REVENUE BUDGET MONITORING REPORT

Recommendations / key decisions required:

That the Board receives the Budget Monitoring report and considers the budgetary position.

In light of the current forecast of a potential significant overspend which would utilise around a third of the council's general fund, that Chief Officers and Heads of Service critically review their budgetary positions and implement all necessary appropriate actions to deliver their services within their allocated budgets as a matter of urgency.

Reasons:

To provide the Executive Board with an update on the latest budgetary position as at 30th June 2018, in respect of 2018/2019.

Relevant scrutiny committee to be consulted: NA

Exec Board Decision Required YES

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr. David Jenkins - Resources

Directorate: Corporate Services

Name of Director:
Chris Moore

Report Author:
Chris Moore

Designations:

Director of Corporate Services

Tel No. 01267 224886

E Mail Addresses:
CMoore@carmarthenshire.gov.uk

EXECUTIVE SUMMARY

EXECUTIVE BOARD

22ND OCTOBER 2018

COUNCIL'S REVENUE BUDGET MONITORING REPORT

The revenue budget monitoring reports for the period to 30th June 2018 are attached and indicate that:

COUNCIL FUND REVENUE ACCOUNT(Appendix A)

Overall, the monitoring report forecasts an end of year overspend of £3,016k on the Authority's net revenue budget with an overspend at departmental level of £3,918k. The most significant pressure points are within Education and Children's Services and the department needs to critically examine the current forecasted position.

Chief Executive's Department

The Chief Executive Department is anticipating an overspend of £613k for the year. This is made of up £580k overspend relating to Corporate Savings and £33k on operational budgets

Corporate Savings (£580k): Efficiencies in relation to Health & Safety are currently under review by the TIC team. The new standby rate was introduced in April and budgets will be vired during quarter 2 in respect of this, which will mitigate this overspend.

Operational budgets (£33k overspend): There is an anticipated £30k overspend in People Management as a result of an unfunded post, a £37k overspend in Policy as a result of ongoing running costs following the acquisition of the Guildhall, a £23k overspend in Electoral Services as a result of by-elections and an £18k overspend in Regeneration due to additional cleaning costs at The Beacon.

This is offset by an underspend in Property of £45k due to anticipated additional income generated from Opportunity Street and a £23k underspend in Legal and Admin as a result of vacant posts during the year.

Department for Communities

The Department for Communities is forecasting an overspend of £881k for the year.

Services supporting Older People and Physical Disabilities are projecting an overspend of £513k: £462k relating to packages of care namely £99k on residential care, £187k on Domiciliary Care and £176k on Direct Payments; £51k Day Services due to an undelivered efficiency.

Services supporting Learning Disabilities, Mental Health and Safeguarding are forecasting an overspend of £367k: £79k relating to Mental Health residential placements, £203k on Direct Payments and £77k due to a shortfall of income in Day Services, including the Catering provisions and £8k miscellaneous spend.

Leisure Services are predicting a nil variance.

Housing & Public Protection Services are predicting a nil variance.

Corporate Services

The Corporate Services Department is projecting a £105k underspend for the year.

This is due to £142k of vacant posts and £10k reduction in our new bank contract costs. This is offset by one off software and data cleansing costs in risk management of £44k.

Department for Education and Children

The Department for Education and Children is forecasting a net overspend of £1,899k at year end.

The main adverse budget variations relate to: increased demand for Special Educational Needs provision without any budget to allocate to this £437k ; within County & Out of County educational placements £330k (full year effect of new placements last year (£165k) & reduced income from other Local Authorities placing in Carmarthenshire (£175k)); school based EVR and redundancy costs £340k; School Meals service budget pressures, especially sickness cover, kitchens' maintenance and food price increases £72k ; Music Service running costs (mainly staff) exceeding the SLA income from schools by £210k; increased number of Children's Services cases entering the Legal system £202k; LHB not contributing fully to tripartite agreements for placements at Garreglwyd Residential Unit which also has staffing pressures £181k;

Environment

The department is anticipating an overspend of £630k for the new financial year due to continuing pressures with Planning and car parking income as reported during the previous financial year.

The Waste and Environmental Services division is projecting a £75k overspend. This is due to a £30k anticipated overspend on green waste collection, as it is not yet self-financing, along with a £42k overspend on Wernddu closed Landfill site as a result of essential remedial works following a pump failure.

Highways and Transportation are anticipating a £250k overspend for the year. This is largely down to a projected £282k shortfall in car park income as a result of parking fees not increasing in line with increasing income targets. This overspend is offset by vacant posts in the year within the division.

Planning Division is anticipating a £309k overspend for the year.

There is a projected £360k shortfall in development management income but this overspend is offset by vacant posts in the year within the division.

The Property and Business Support Divisions are expecting to break even for the year.

Capital Charges

Reduced borrowing/interest savings

HOUSING REVENUE ACCOUNT (Appendix B)

The HRA is predicting a £98k underspend to the year end.

Repairs and maintenance is £21k over budget due to responsive repairs.

Supervision and Management costs are forecasted to be overspent by £36k due to savings on staffing costs (£17k), travelling expenses (£12k) and supplies and services (£10k) offset by overspends in premises related expenditure (£50k mainly maintenance costs) and staff recharges (£25k)

Capital financing charges will be £158k less than budgeted due to a slight reduction in interest rates.

There is a reduction in the provision required for debt write-offs, based on arrears levels and age debt analysis to year end of £264k

Rental income/service charges/other income is forecasted to be £175k lower due primarily to voids losses being higher than predicted.

Income for commission from the collection of water rates will also be reduced by £91k due to implementation of new scheme which benefits eligible tenants.

Lists of the main variances are attached to this report.

DETAILED REPORT ATTACHED?

YES:

Appendix A - COUNCIL FUND REVENUE ACCOUNT

Appendix B - HOUSING REVENUE ACCOUNT

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Chris Moore

Director of Corporate Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	NONE	YES	NONE	NONE	NONE	NONE

1. Finance

Council Fund

Overall, the Authority is forecasting an overspend of £3,016k.

Housing Revenue Account (HRA)

The HRA is forecasting that it will be £98k under its approved budget.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Chris Moore

Director of Corporate Services

1. Scrutiny Committee – Not applicable

2. Local Member(s) – Not applicable

3. Community / Town Council – Not applicable

4. Relevant Partners – Not applicable

5. Staff Side Representatives and other Organisations – Not applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2018/19 Budget		Corporate Services Department, County Hall, Carmarthen

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REPORT OF THE DIRECTOR OF CORPORATE SERVICES

PRELIMINARY EXECUTIVE BOARD 24th September 2018

COUNCIL'S BUDGET MONITORING REPORT 2018/19 as at 30th June 2018

Director and Designation	Author & Designation	Telephone No	Directorate
C Moore, Director of Corporate Services	C Moore, Director of Corporate Services	01267 224120	Corporate Services

Table 1

Forecasted for year to 31st March 2019

Department	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Controllable Expenditure	Controllable Income	Net Non Controllable	Total Net	Controllable Expenditure	Controllable Income	Net Non Controllable	Total Net	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Chief Executive	23,891	-7,847	-2,363	13,682	26,920	-10,262	-2,363	14,295	613
Communities	142,944	-56,072	10,981	97,853	144,695	-56,941	10,981	98,735	881
Corporate Services	77,538	-51,046	-1,282	25,210	79,512	-53,125	-1,282	25,105	-105
Education & Children	164,779	-25,836	23,170	162,112	171,565	-30,724	23,170	164,011	1,899
Environment	124,068	-80,574	9,209	52,702	124,329	-80,206	9,209	53,332	630
Departmental Expenditure	533,220	-221,375	39,715	351,560	547,021	-231,257	39,715	355,478	3,918
Capital Charges/Interest/Corporate				-15,506				-15,831	-325
Levies and Contributions:									
Brecon Beacons National Park				142				142	0
Mid & West Wales Fire & Rescue Authority				9,582				9,582	0
Net Expenditure				345,778				349,371	3,593
Transfer from Balances/Earmarked Reserves				0				0	0
Transfers to/from Departmental Reserves									
- Chief Executive				0				0	0
- Communities				0				0	0
- Corporate Services				0				52	52
- Education & Children				0				0	0
- Environment				0				-630	-630
Net Budget				345,778				348,794	3,016

Chief Executive Department
Budget Monitoring as at 30th June 2018

Division	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	
Chief Executive	-314	0	-308	-622	260	0	-308	-48	574
People Management	4,204	-1,427	-2,552	224	4,773	-1,966	-2,552	255	30
ICT	4,464	-792	-3,664	7	4,424	-753	-3,664	7	-0
Admin and Law	4,064	-537	551	4,078	3,988	-484	551	4,055	-23
Regen, Policy & Property									
Policy	5,345	-1,381	-2,769	1,195	5,439	-1,438	-2,769	1,232	37
Statutory Services	833	-2	87	918	886	-33	87	940	23
Property	1,141	-1,309	872	704	1,152	-1,365	872	659	-45
Major Projects	151	-76	15	90	722	-647	15	90	0
Regeneration	4,003	-2,322	5,407	7,088	5,275	-3,576	5,407	7,106	18
GRAND TOTAL	23,891	-7,847	-2,363	13,682	26,920	-10,262	-2,363	14,295	613

Chief Executive Department - Budget Monitoring as at 30th June 2018

Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Chief Executive						
Corporate Savings Target	-580	0	0	0	580	New Standby rate introduced in April 2018 - budget to be vired during Quarter 2; Corporate Health & Safety efficiency proposal currently under review by TIC team.
People Management						
Business & Projects Support	261	0	292	0	31	Unfunded post
Admin and Law						
Land Charges Administration	149	-288	111	-263	-13	Vacant post
Corporate Serv-Democratic	530	0	456	0	-74	Part year vacant posts
Corporate Serv-Legal	1,598	-249	1,625	-216	60	Unachievable income target
Regeneration, Policy & Property						
Policy						
Marketing and Media	657	-359	702	-359	46	Unfunded posts
Performance Management	545	-31	483	0	-31	Vacant post
Chief Executive-Policy	504	-27	526	-31	18	Partially unfunded post
CCTV	35	0	25	0	-10	Reduced spend on supplies and services
Corporate Serv-Administration	435	-41	422	-5	23	Forecasted non-achievement of income target.
The Guildhall Carmarthen	0	0	46	0	46	CCC has purchased the building, but no budget has been allocated to cover any costs. Significant premises maintenance & other running costs are forecast resulting in this projected overspend
Customer Services Centres	1,085	-328	1,042	-328	-43	Vacant posts
Statutory Services						
Elections-Community Council	0	0	29	-4	25	By election costs
Property						
Commercial Property - Chief Executives	29	-516	30	-578	-62	Additional income - Opportunity Street
Provision Markets	553	-625	506	-567	11	Anticipated shortfall on lettings income

Chief Executive Department - Budget Monitoring as at 30th June 2018

Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Regeneration - Core Budgets						
The Beacon	143	-136	180	-151	22	Overspend mainly due to additional cleaning costs
Other Variances					-16	
Grand Total					613	

Department for Communities
Budget Monitoring as at 30th June 2018

Division	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	
Adult Services									
Older People	56,527	-22,567	2,782	36,742	56,421	-22,068	2,782	37,135	392
Physical Disabilities	7,012	-1,367	222	5,867	7,132	-1,366	222	5,989	121
Learning Disabilities	37,268	-10,038	1,327	28,557	37,670	-10,152	1,327	28,845	288
Mental Health	9,265	-3,363	229	6,131	9,762	-3,782	229	6,209	79
Support	6,148	-2,805	963	4,306	6,150	-2,806	963	4,307	0
Homes & Safer Communities									
Public Protection	3,079	-832	582	2,828	3,079	-836	582	2,825	-3
Council Fund Housing	9,274	-8,012	243	1,505	10,120	-8,855	243	1,508	3
Leisure & Recreation									
Leisure & Recreation	14,371	-7,087	4,633	11,917	14,360	-7,076	4,633	11,917	0
GRAND TOTAL	142,944	-56,072	10,981	97,853	144,695	-56,941	10,981	98,735	881

Department for Communities - Budget Monitoring as at 30th June 2018

Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Adult Services						
Older People						
Older People - Commissioning	3,567	-625	3,509	-625	-58	Staff vacancies in care management teams
Older People - LA Homes	7,349	-4,436	7,401	-4,436	52	Cost of agency staff due to workforce recruitment issues in parts of the county.
Older People - Private/ Vol Homes	21,579	-11,897	21,218	-11,437	99	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows trend for demand remains at similar levels as previous financial years despite demographic pressures as preventative work continues to be effective.
Older People - LA Home Care	5,909	-431	5,779	-431	-130	Significant departmental work to monitor and manage demand by continuing to promote independent living through Integrated Care Fund initiatives such as Releasing Time to Care resulting in lower demand eg for double handed care packages. Recruitment is underway for vacant posts.
Older People - Direct Payments	1,156	-287	1,237	-287	81	Direct Payments increasing across client groups linked to promoting independence and cost avoidance.
Older People - Private Home Care	9,732	-2,164	10,135	-2,164	403	There has been a significant increase in demand for domiciliary care that has only been partly offset by a fall in residential care placements. There is significant departmental work to monitor and manage demand by audit assessment practice and by continuing to promote independent living through Integrated Care Fund initiatives such as Releasing Time to Care resulting in lower demand eg for double handed care packages. We are currently reviewing whether this initiative requires additional resources to yield the necessary financial savings.
Older People - Enablement	2,185	-586	2,099	-586	-86	Staff vacancies - recruitment issues being addressed.
Older People - Day Services	1,123	-71	1,188	-72	64	Outstanding unmet efficiency relating to in house Day services provision from 2016-2017 £202k offset by lower spend in remaining in-house provision and placements.
Physical Disabilities						
Phys Dis - Direct Payments	2,282	-555	2,377	-555	95	Direct Payments increasing across client groups linked to promoting independence and cost avoidance.

Department for Communities - Budget Monitoring as at 30th June 2018
Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Learning Disabilities						
Learn Dis - Employment & Training	2,306	-888	2,055	-561	77	Shortfall in income at SA31 and Blas Myrddin
Learn Dis - Direct Payments	2,167	-526	2,369	-526	203	Direct Payments increasing across client groups linked to promoting independence and cost avoidance.
Mental Health						
M Health - Private/Vol Homes	6,105	-2,573	6,608	-2,997	79	Work continuing to promote independent living and reduce cost of care packages accordingly. Client group difficult to forecast costs as demand led at short notice; forecasts are based on existing levels of packages and work is ongoing to develop alternative provision options
Other Variances - Adult Services					3	
Homes & Safer Communities						
Public Protection						
Air Pollution	101	-33	101	-21	13	Potential underachievement of income
Other Variances - Public Protection					-16	
Council Fund Housing						
Other Variances - Council Fund Housing					3	

Department for Communities - Budget Monitoring as at 30th June 2018
Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Leisure & Recreation						
Pendine Outdoor Education Centre	486	-326	503	-290	52	Reduced income due to enforced closure of centre earlier in year due for building safety compliance works affecting bookings
Pembrey ski shop	0	0	10	0	10	Ski shop closed after easter and forecast represents the write down of stock at year end
Sport & Leisure West	261	-33	240	-33	-21	In year staff vacancy
Gwendraeth Sports Centre	7	-4	-21	0	-24	Forecast underspend relates to backdated NNDR refund
Sport & Leisure General	971	-56	948	-56	-23	In year staff vacancy
Llanelli Leisure Centre	1,237	-1,016	1,216	-981	14	Projected shortfall of income to budget
Pembrey Country Park	654	-697	653	-728	-32	Forecast excess income from Caravan/Camping
Carmarthen Museum, Abergwili	161	-16	172	-16	11	One off relocation expenses £6k plus increased NNDR £5k
Museums General	173	0	206	0	33	Contribution to Documentation Assistant post £9k, temporary storage rental £7k, unable to achieve vacancy factor £17k
Other Variance - Leisure & Recreation					-19	
Grand Total					881	

Corporate Services Department
Budget Monitoring as at 30th June 2018

Division	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	
Financial Services	4,477	-2,083	-2,364	30	4,276	-1,970	-2,364	-59	-89
Revenues & Financial Compliance	4,764	-1,670	-2,160	933	4,700	-1,613	-2,160	928	-6
Other Services	68,297	-47,293	3,242	24,246	70,536	-49,543	3,242	24,236	-10
GRAND TOTAL	77,538	-51,046	-1,282	25,210	79,512	-53,125	-1,282	25,105	-105

Corporate Services Department - Budget Monitoring as at 30th June 2018
Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Financial Services						
Accountancy	1,675	-369	1,645	-369	-30	Part year vacant posts
Treasury and Pension Investment Section	246	-175	216	-175	-30	Part year vacant posts
Payments	501	-72	469	-72	-32	Part year vacant posts
Revenues & Financial Compliance						
Procurement	518	-32	469	-32	-49	Part year vacant posts
Risk Management	136	-0	180	-0	44	Additional software costs, data cleansing and temp post funded from underspends in Procurement
Other Services						
Bank Charges	64	0	54	0	-10	Reduced costs due to new contract
Other Variances					3	
Grand Total					-105	

Department for Education & Children
Budget Monitoring as at 30th June 2018

Division	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	
Director & Strategic Management	1,537	0	-97	1,440	1,524	-0	-97	1,427	-13
Education Services Division	127,831	-13,408	17,694	132,117	128,784	-13,237	17,694	133,241	1,125
Access to Education	8,563	-5,979	2,020	4,603	8,420	-5,733	2,020	4,707	103
School Improvement	2,666	-455	466	2,677	3,351	-1,105	466	2,712	36
Curriculum & Wellbeing	5,336	-3,947	595	1,984	6,087	-4,492	595	2,189	205
Children's Services	18,846	-2,047	2,493	19,292	23,399	-6,157	2,493	19,736	444
GRAND TOTAL	164,779	-25,836	23,170	162,112	171,565	-30,724	23,170	164,011	1,899

Department for Education & Children - Budget Monitoring as at 30th June 2018
Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Director & Strategic Management						
Business Support	406	0	391	-0	-15	Reduction in supplies and services (postages, photocopying recharges, admin and office equipment)
Education Services Division						
School Redundancy & EVR	1,875	0	2,215	0	340	Budget utilised on existing commitments. Schools are supported and challenged on staffing structure proposals.
Early Years Non-Maintained Provision	319	0	292	0	-27	Reduction forecast in demand for places for 3 year olds in non maintained settings
Special Educational Needs	2,892	-1,518	3,485	-1,310	800	Additional 5 classes to meet increased demand in specialist provision without any budget to allocate to this £437k. Full year impact of additional pupils commencing Out of County placements in 2017-18 and fewer pupils from other authorities in specialist provisions within Carmarthenshire, with these places being utilised by Carmarthenshire pupils £330k. Supply costs in SEN management to meet increased demand in inclusion cases £33k.
Educational Psychology	843	0	880	-10	27	Service demand currently requires staffing level in excess of budget
Access to Education						
School Admissions	211	0	199	0	-12	Staffing budgets based on top of scale and full time. Staff not as yet at top of scale & one emp not currently full time.
School Modernisation	55	-5	103	-10	44	Transport recharges outside of Transport Policy for former pupils of closed schools £30k. Premises costs re closed schools £14k
School Meals & Primary Free Breakfast Services	8,298	-5,974	8,118	-5,723	72	Budget pressures across the service especially sickness cover, kitchens' maintenance and food price increases. Strategic review of meal provision commencing September 2018 to identify service efficiencies.
School Improvement						
School Effectiveness Support Services	562	-78	619	-100	36	Premises costs for Neuadd Y Gwendraeth

Department for Education & Children - Budget Monitoring as at 30th June 2018
Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Curriculum and Wellbeing						
Music Services for Schools	965	-865	1,169	-860	210	SLA income from schools has reduced more quickly than the progress on staff restructuring. Possible partial mitigation from National funding though not gauranteed.
Behaviour Management	144	0	131	0	-13	Part year vacant post
Children's Services						
Commissioning and Social Work	6,706	-78	6,931	-101	202	Increased number of legal cases based on year to date.
Garreglwyd Residential Unit	565	-163	798	-215	181	Contribution from LHB for Tripartite funding is only at draft SLA level due to on-going lack of engagement from LHB. Additional tripartite staffing and premises costs for new placement are also not yet agreed.
Short Breaks and Direct Payments	531	-30	582	-60	22	Increased take up of Direct Payments, based on April - June 2018 activity
Education Welfare	418	0	506	-42	46	Review of staffing structure to be progressed Autumn 2018. Any part year impact would reduce the forecast overspend.
Other Variances					-14	
Grand Total					1,899	

Environment Department
Budget Monitoring as at 30th June 2018

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Division	Working Budget				Forecasted				June 2018 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	
Buisness Support & Performance	167	-51	-30	86	175	-60	-30	85	-0
Waste & Environmental Services	23,690	-4,407	1,561	20,844	23,744	-4,386	1,561	20,919	75
Highways & Transportation	56,441	-37,348	8,934	28,027	56,674	-37,330	8,934	28,277	250
Property	39,673	-36,414	-1,538	1,720	39,595	-36,341	-1,538	1,716	-4
Planning	4,097	-2,354	282	2,026	4,142	-2,089	282	2,335	309
GRAND TOTAL	124,068	-80,574	9,209	52,702	124,329	-80,206	9,209	53,332	630

Environment Department - Budget Monitoring as at 30th June 2018

Main Variances

Division	Working Budget		Forecasted		June 2018	Notes
	Expenditure	Income	Expenditure	Income	Variance for Year	
	£'000	£'000	£'000	£'000	£'000	
Waste & Environmental Services						
Green Waste Collection	86	0	264	-147	30	The green waste collection service is not yet self-financing
Closed Landfill Sites Wernddu	85	0	128	0	42	IWEC pumps failed Dec17 which resulted in a leachate outbreak, NRW involved. Needed to overpump leachate from lagoons into raising mains - 2 sets of pumps used to lower level of lagoon so that CCTV investigation could commence and vavles fitted and blockages removed to reinstate IWEC pumps - Completed Dec18
Highways & Transportation						
Car Parks	2,136	-3,577	1,820	-2,980	282	Unachievable income target as the income target is increased every year but parking fees have not been increased.
Nant y Ci Park & Ride	77	-32	90	-32	12	Increase in Highways charges due to gritting as a result of bad weather, increased NNDR bills.
Bridge Maintenance	764	0	746	0	-18	Variance due to 'Highways structures Inspector' post being vacant - should be filled by Oct18
Street Works and Highway Adoptions	408	-350	439	-403	-23	Vacant posts - street works inspector and Technician
Property						
Strategic Asset Management Business Unit	707	-4	696	-3	-10	Vacant posts now recruited not yet started.
Administrative Buildings	3,040	-660	3,027	-658	-11	Vacant posts now recruited not yet started.
Livestock Markets	57	-201	55	-176	23	Dependent on new lease negotiation and variable turnover rent
Planning						
Planning Admin Account	334	-9	417	-109	-18	Staff vacancies £7.2k, projected over-achievement of income £2.1k, various net underspends £8.2k
Building Control - Other	174	0	189	-0	15	£30k efficiency saving not currently being achieved. Partly offset by vacant post and underspends against some account headings.
Minerals	339	-205	301	-180	-13	Underspend mainly due to charging out of staff to projects as a 'direct cost'.
Development Management	1,477	-1,265	1,465	-893	360	Overspend due to ongoing shortfall in income which is driven by a small number of larger schemes which attract higher planning fees. This mirrors the trend across Wales.
Conservation	407	-31	364	-18	-30	Underspend due to staff vacancies
Other Variances					-12	
Grand Total					630	

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Housing Revenue Account - Budget Monitoring as at 30th June 2018

	Working Budget	Forecasted Actual	June 18 Variance for Year	Notes
£'000	£'000	£'000	£'000	
Expenditure				
Repairs & Maintenance				
Responsive	1,760	1,781	21	Overspend in legal fees for frameworks £5k and rechargeable costs £16k
Minor Works	2,812	2,812	0	
Voids	2,350	2,350	0	
Servicing	1,611	1,611	0	
Drains & Sewers	128	128	0	
Grounds	731	731	0	
Unadopted Roads	102	102	0	
Supervision & Management				
Employee	4,223	4,206	-17	Underspend due to post vacancies part year
Premises	1,411	1,461	50	Overspend in premises maintenance £27k, Rent £16k and Other £7k
Transport	67	56	-12	
Supplies	874	864	-10	
Recharges	1,319	1,344	25	Capitalised salaries - vacant post part year
Provision for Bad Debt	435	171	-264	Provision for bad debt adjustment does not include an estimate for write offs currently
Capital Financing Cost	14,205	14,047	-158	Forecast reduction in interest rate applicable.
Central Support Charges	1,620	1,620	-0	
DRF	13,475	13,475	0	
Total Expenditure	47,123	46,760	-364	

Housing Revenue Account - Budget Monitoring as at 30th June 2018

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	Working Budget £'000	Forecasted Actual £'000	June 18 Variance for Year £'000	Notes
Income				
Rents	-39,729	-39,611	118	Underachievement of rental income - Void loss prediction at budget setting 2.1%, while current forecast is 2.84%
Service Charges	-750	-693	57	Underachievement of service charge income due to predicted void loss
Supporting People	-135	-135	0	
Mortgage Interest	-3	-3	0	
Interest on Cash Balances	-66	-66	0	
Other Income	-598	-507	91	Underachievement of water rates commission due to a Government initiative to reduce the water bills for eligible tenants
Total Income	-41,280	-41,015	266	
Net Expenditure	5,843	5,745	-98	

HRA Reserve	£'000
Balance b/f 1/4/18	20,114
Budgeted movement in year	-5,843
Variance for the year	98
Balance c/f 31/3/19	14,369

EXECUTIVE BOARD

22ND OCTOBER 2018

TREASURY MANAGEMENT AND PRUDENTIAL INDICATOR REPORT 1ST APRIL 2018 TO 30TH JUNE 2018

Recommendations / key decisions required:

That the Executive Board considers and approves the report.

Reasons:

To provide members with an update on the treasury management activities from 1st April 2018 to 30th June 2018.

Relevant scrutiny committee to be consulted:

YES - Policy & Resources Scrutiny Committee 11th October 2018

Exec Board Decision Required YES

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr. D.M. Jenkins – Resources

Directorate: Corporate Services

Name of Director: Chris Moore

Report Author: Anthony Parnell

Designation: Director of Corporate Services

Designation: Treasury and Pension Investments Manager

Tel No. 01267 224120; E Mail: CMoore@carmarthenshire.gov.uk

Tel No. 01267 224180; E Mail: AParnell@carmarthenshire.gov.uk

EXECUTIVE SUMMARY

EXECUTIVE BOARD

22ND OCTOBER 2018

TREASURY MANAGEMENT AND PRUDENTIAL INDICATOR REPORT 1ST APRIL 2018 TO 30TH JUNE 2018

BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide members with an update on the treasury management activities from 1st April 2018 to 30th June 2018.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: **C Moore** Director of Corporate Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	NONE	YES	NONE	NONE	NONE	NONE

1. Policy, Crime & Disorder and Equalities

Within the requirements of the Treasury Management Policy and Strategy Report 2018-2019

3. Finance

The authority's investments during the period returned an average return of 0.57%, exceeding the 7 day LIBID rate.

Gross interest earned on investments for the period amounted to £0.107m and interest paid on loans was £0.96m.

The Authority did not breach any of its Prudential Indicators during the period.

At the period end the investments included £0.58m of KSF investments.

The administration of KSF is expected to continue for some time again and further updates will be provided in future reports.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: **C Moore** Director of Corporate Services

1. Scrutiny Committee - Not Applicable

2. Local Member(s) - Not Applicable

3. Community / Town Council - Not Applicable

4. Relevant Partners - Not Applicable

5. Staff Side Representatives and other Organisations - Not Applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
CIPFA Treasury Management in the Public Services - Code of Practice Revised 2017		County Hall, Carmarthen

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EXECUTIVE BOARD

22ND OCTOBER 2018

TREASURY MANAGEMENT AND PRUDENTIAL INDICATOR REPORT

1st April 2018 – 30th June 2018

A QUARTERLY TREASURY MANAGEMENT REPORT

1. Introduction

The Treasury Management Policy and Strategy for 2018-2019 was approved by Council on 21st February 2018. Section B 1.1(2) stated that Treasury Management activity reports would be made during the year. This report outlines the Treasury Management activities in the period 1st April 2018 to 30th June 2018 and satisfies the reporting requirement stated above.

2. Economic Update

As expected, on the 2nd August 2018 the Bank of England MPC raised interest rates by 0.25%, to a nine year high of 0.75%. The suggestion remains that they are in no rush to raise rates further with the uncertainty of Brexit still hanging over the economy, but that gradual and limited increases will eventually follow.

3. Investments

One of the primary activities of the Treasury Management operation is the investment of surplus cash for which the Authority is responsible. As well as the Authority's own cash the County Council invests School Trust Funds and other Funds, with any interest derived from these investments being passed over to the relevant Fund.

All surplus money is invested daily on the London Money Markets. The security of the investments is the main priority. Appropriate liquidity should be maintained and return on investments the final consideration. It continues to be difficult to invest these funds as the market continues to be insecure and as a consequence appropriate counterparties are limited.

The total investments at 1st April 2018 to 30th June 2018 analysed between Banks, Building Societies, Local Authorities and Money Market Funds, are shown in the following table:

Investments	01.04.18				30.06.18			
	Call and notice £m	Fixed Term £m	Total £m	%	Call and notice £m	Fixed Term £m	Total £m	%
Banks and 100% Wholly Owned Subsidiaries	19.00	0.58	19.58	45	12.00	0.58	12.58	23
Building Societies	0.00	0.00	0.00	0	0.00	0.00	0.00	0
Money Market Funds	10.00	0.00	10.00	23	5.00	0.00	5.00	9
Local Authorities	0.00	14.00	14.00	32	0.00	38.00	38.00	68
TOTAL	29.00	14.58	43.58	100	17.00	38.58	55.58	100

Investments on call are available immediately on demand.
Fixed term investments are fixed to a maturity date.

The £55.58m includes £0.58m (14.5% of original claim) invested in Kaupthing Singer and Friedlander which has been reduced from the original £4.0m by distributions.

During the period the total investments made by the Council and repaid to the Council (the turnover) amounted to £335.40m. This averaged approximately £25.80m per week or £3.69m per day. A summary of turnover is shown below:

	£m
Total Investments 1st April 2018	43.58
Investments made during the quarter	173.70
Sub Total	217.28
Investments Repaid during the quarter	(161.70)
Total Investments at 30th June 2018	55.58

The main aims of the Treasury Management Strategy is to appropriately manage the cash flows of the Council, the required short term and longer term market transactions and the risks associated with this activity. Lending on the money market secures an optimum rate of return and also allows for diversification of investments and hence reduction of risk, which is of paramount importance in today's financial markets.

The benchmark return for the London money market is the "7 day LIBID rate". For 2018-2019 the Council has compared its performance against this "7 day LIBID rate". For the period under review the average "7 day LIBID rate" was 0.36% whereas the actual rate the Council earned was 0.57%, an out performance of 0.21%.

This outperformance can be quantified to £39k additional interest earned compared to the "7 day LIBID rate".

The gross interest earned on investments for the period amounted to £107k.

The income from investments is used by the Authority to reduce the net overall costs to the Council taxpayer.

4. Update on the investments with Kaupthing Singer & Friedlander (KSF)

No dividends were received during the period. As at 30th June 2018 the sum of £3.420m principal and £210k interest had been received from the Administrators, which equates to 85.50% of the claim submitted. A seventeenth dividend is expected to be paid in August 2018 which will equate to 0.25p in the £ and amount to £10k principal. The Administrators' estimate of total dividends payable to non-preferential creditors remains at 86.25%.

A further update will be provided in future reports.

5. Security, Liquidity and Yield (SLY)

Within the Treasury Management Strategy Statement for 2018-2019, the Council's investment priorities are:

- Security of Capital
- Liquidity and
- Yield

The Council aims to achieve the optimum return (yield) on investments commensurate with proper levels of security and liquidity. In the current economic climate it is considered appropriate to keep investments short term to cover short term cash flow needs but also to seek out value available in significantly higher rates in periods up to 12 months with highly credit rated financial institutions.

Attached in Appendix 1 is the Investment Summary and Top 10 Counterparty Holdings (excluding the £0.58m in KSF) as at 30th June 2018.

6. Borrowing

One of the methods used to fund capital expenditure is long term borrowing. The principal lender for Local Authorities is the Public Works Loan Board (PWLB).

Under the Treasury Management Strategy it was agreed to borrow when interest rates are at their most advantageous.

The total loans at 1st April 2018 and 30th June 2018 are shown in the following table:

Loans	Balance at 01.04.18 £m	Balance at 30.06.18 £m	Net Increase/ (Net Decrease) £m
Public Works Loan Board (PWLB)	392.11	392.11	0.00
Market Loan	3.00	3.00	0.00
Salix, Invest to Save, HILS & TCL	4.74	4.68	(0.06)
TOTAL	399.85	399.79	(0.06)

The Salix interest free loans have been provided by an independent publicly funded company dedicated to providing the public sector with loans for energy efficiency projects.

This interest free Invest-2-Save funding is to assist in the conversion of traditional street lighting to LED, which will help deliver a legacy of reduced energy costs and associated carbon taxes.

The Home Improvement Loan Scheme (HILS) repayable funding is provided by the Welsh Government to help individual home owners, small portfolio landlords, developers and charities to improve homes and increase housing supply.

The Town Centre Loan (TCL) repayable funding is provided by the Welsh Government to provide loans to reduce the number of vacant, underutilised and redundant sites and premises in town centres and to support the diversification of the town centres by encouraging more sustainable uses for empty sites and premises, such as residential, leisure and for key services.

6.1 New Borrowing

No new loans were borrowed during the period.

6.2 Interest Paid

Interest paid on loans in the period was:

PWLB Interest Paid £m	Market Loan Interest Paid £m	Total Interest Paid £m
0.89	0.07	0.96

7. Rescheduling and Premature Loan Repayments

No rescheduling opportunities arose during the period and there were no premature repayments of debt.

8. Leasing

No leases were negotiated in the period ended 30th June 2018.

9. Conclusion

The Treasury Management function for the period ended 30th June 2018 has been carried out within the policy and guidelines set in the Treasury Management Policy and Strategy 2018-2019.

B. QUARTERLY PRUDENTIAL INDICATOR REPORT

1. Introduction

As part of the 2018-2019 Budget and the Treasury Management Policy and Strategy 2018-2019, Council adopted a number of Prudential Indicators. These Indicators are designed to ensure that any borrowing or other long-term liabilities entered into for capital purposes were affordable, sustainable and prudent.

The Indicators are required by the Local Government Act 2003 and the Revised Prudential Code of Practice in order to control Capital Finance. The Prudential Code also required that those Prudential Indicators that were forward looking should be monitored and reported. Some of the indicators are monitored by officers monthly, and are only reported if they are likely to be breached, others are to be monitored quarterly by the Executive Board.

2. The Monitored Prudential Indicators

2.1 Affordability Prudential Indicator

2.1.1 Ratio of Financing Costs to Net Revenue Stream

The indicator set for 2018-2019 in the Budget was:

	2018-2019 %
Non –HRA	5.15
HRA	34.39

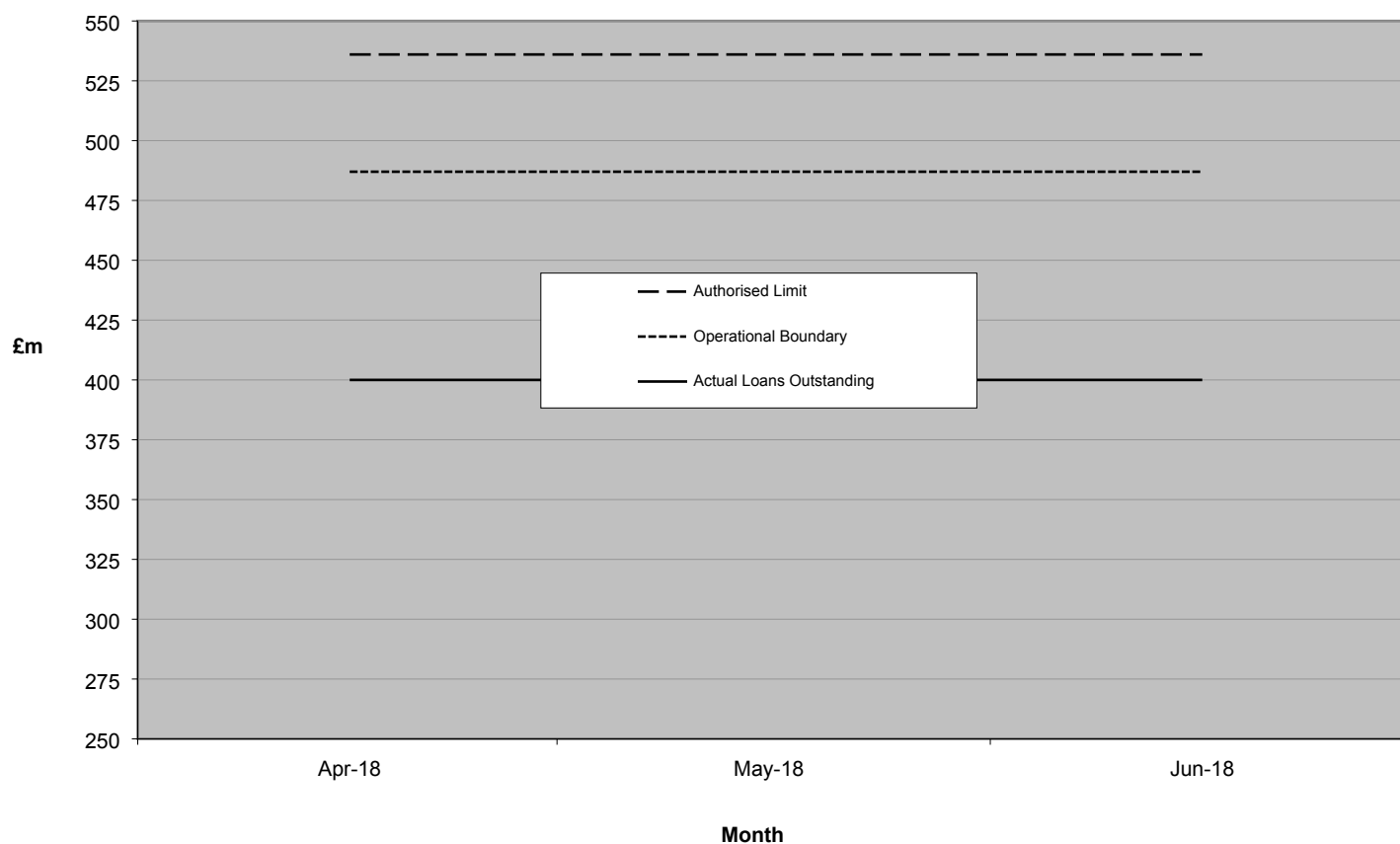
An examination of the assumptions made in calculating this indicator concluded that there have been no changes in the period.

2.2 Prudence Prudential Indicators

2.2.1 The Gross Borrowing and Capital Finance Requirement (CFR) indicator

The indicator set by the Budget for Gross Borrowing and CFR was that the Section 151 Officer envisaged no difficulty in meeting the requirement of the Gross Borrowing being less than the accumulated CFR for 2018-2019. An examination of assumptions made when calculating the Prudential Indicator show that there have been no material changes.

2.2.2 Authorised Limit and Operational Boundary



The actual value of loans outstanding must not exceed the Authorised Limit. In normal activity actual loans outstanding should be close but less than the Operational Boundary. The Operational Boundary can be breached in the short term due to adverse cash flows.

	Apr-18 £m	May-18 £m	Jun-18 £m
Authorised Limit	536	536	536
Operational Boundary	487	487	487
Loans Outstanding	400	400	400

Neither the Authorised Limit nor the Operational Boundary have been breached.

2.3 Treasury Management Prudential Indicators

2.3.1 Interest Rate Exposure

Position as at 30th June 2018:

	Fixed Interest Rate £m	Variable Interest Rate £m	TOTAL £m
Borrowed	396.79	3.00	399.79
Invested	(38.58)	(17.00)	(55.58)
Net	358.21	(14.00)	344.21
Limit	467.00	47.00	
Proportion of Net Borrowing Actual	104.07%	(4.07)%	100.00%
Limit	125.00%	5.00%	

The authority is within limits set by the 2018-2019 indicators.

2.3.2 Maturity Structure Of Borrowing

	Structure at 30.06.18 %	Upper Limit %	Lower Limit %
Under 12 months	1.74	15	0
12 months to 2 years	1.32	25	0
2 years to 5 years	7.40	50	0
5 years to 10 years	10.00	50	0
10 years to 20 years	18.11	50	0
20 years to 30 years	20.26	50	0
30 years to 40 years	23.49	50	0
40 years and above	17.68	50	0

The authority is within the limits set by the 2018-2019 indicators.

2.3.3 Maximum principal sums invested longer than 365 days

	2018-2019 £m
Limit	10
Actual as at 30 th June 2018	NIL

3. Conclusion

For the period 1st April 2018 to 30th June 2018 the actual Prudential Indicators to be monitored by the Executive Board are within the limits set by the Budget 2018-2019 and the Treasury Management Policy and Strategy 2018-2019. This is also true for the indicators being monitored by officers.

RECOMMENDATION

That Executive Board considers and approves the report.

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Investment Summary as at 30th June 2018

Carmarthenshire County Council

Totals		
Total	£55,000,000	
Calls & MMFs	£17,000,000	31%
Fixed Deposits	£38,000,000	69%
Specified	£55,000,000	100%

Weighted Average		
Yield		0.68%
Maturity (Days)		
Total Portfolio	Total Portfolio	12.84
Long Term		
AAA	-	1.00
AA	F1	18.13
A	F1	1.00
BBB	F2	0.00
CCC	C	0.00

Risk Factors		
< 1 year	£346	0.001%
1 - 2 years	£0	0.000%
2 - 3 years	£0	0.000%
3 - 4 years	£0	0.000%
4 - 5 years	£0	0.000%
Total Portfolio	£346	0.001%

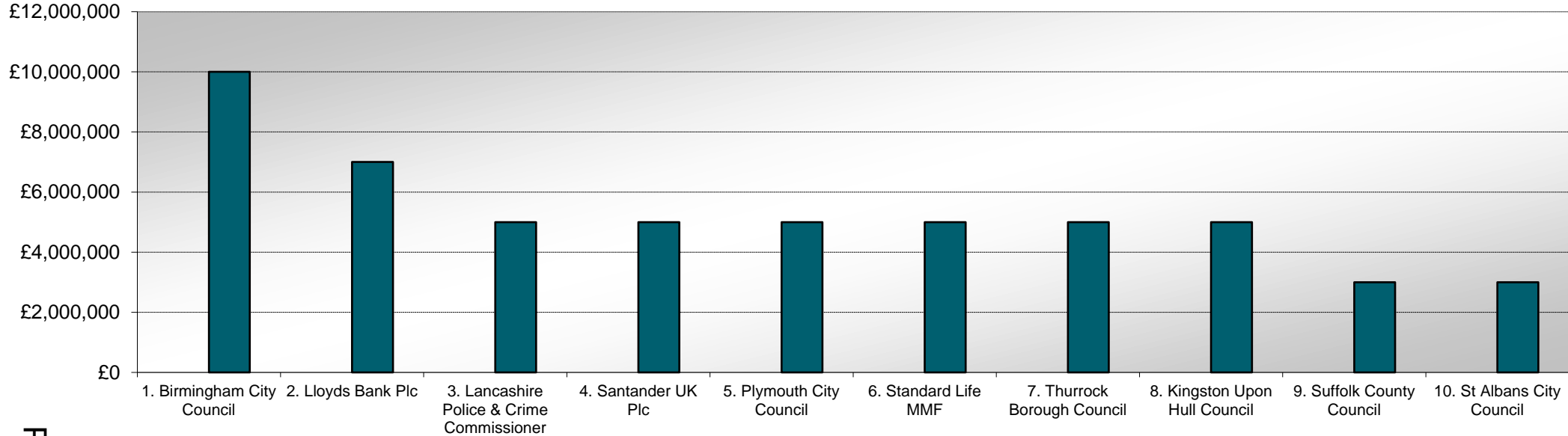
Maturity Structure		
< 1 Week	£27,000,000	49%
< 1 Month	£20,000,000	36%
2 - 3 Months	£8,000,000	15%
3 - 6 Months	£0	0%
6 - 9 Months	£0	0%
9 - 12 Months	£0	0%
12 Months+	£0	0%
Total	£55,000,000	100%

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Top 10 Counterparty Holdings

Carmarthenshire County Council

Counterparty	Principal	% of Total Holding	WAM (Days)	WAYield	WADefault
1. Birmingham City Council	£10,000,000	18.87%	20	0.70%	0.001%
2. Lloyds Bank Plc	£7,000,000	13.21%	1	0.70%	0.000%
3. Lancashire Police & Crime Commissioner	£5,000,000	9.43%	37	0.70%	0.002%
4. Santander UK Plc	£5,000,000	9.43%	1	0.70%	0.000%
5. Plymouth City Council	£5,000,000	9.43%	20	0.80%	0.001%
6. Standard Life MMF	£5,000,000	9.43%	1	0.52%	0.000%
7. Thurrock Borough Council	£5,000,000	9.43%	3	0.70%	0.000%
8. Kingston Upon Hull Council	£5,000,000	9.43%	5	0.60%	0.000%
9. Suffolk County Council	£3,000,000	5.66%	37	0.63%	0.002%
10. St Albans City Council	£3,000,000	5.66%	12	0.70%	0.001%



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EXECUTIVE BOARD 22ND OCTOBER, 2018

CARMARTHENSHIRE COUNTY COUNCIL DIRECT PAYMENTS POLICY

Purpose:

The direct payments policy has been updated in line with changes in legislation, namely the Social Services and Well-being (Wales) Act 2014.

Recommendations / key decisions required:

To seek approval of the amended policy; a summary of the substantive changes made to the previous policy are set out below.

Reasons:

The Social Services and Well-being (Wales) Act 2014 came into force on 6th April 2016, as did the Care and Support (Direct Payments)(Wales) Regulations 2015. As a result, Carmarthenshire County Council has revisited its previous direct payments policy (which was a three Counties policy across Carmarthenshire, Pembrokeshire, and Ceredigion) and amended it to reflect changes made by the aforementioned legislation. Carmarthenshire County Council has decided to initially propose that the new policy be a Carmarthenshire County Council direct payments policy. However the contents of this new policy has been shared with Pembrokeshire County Council and Ceredigion County Council.

Relevant scrutiny committee to be consulted: YES – Social Care & Health Scrutiny Committee – 25th September, 2018

Scrutiny Committee recommendations / comments:

Scrutiny Committee resolved to recommend to Executive Board that the amended policy be approved.

Exec Board Decision Required YES – 22nd October, 2018
Council Decision Required YES – 14th November, 2018

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:-

Cllr. J. Tremlett (Social Care & Health Portfolio Holder)

Directorate Communities	Designations:	Tel Nos. 01267 228900 / 01267 228714
Name of Head of Service: Neil Edwards	Interim Head of Integrated Services	E Mail Addresses: Nedwards@carmarthenshire.gov.uk jmartin@carmarthenshire.gov.uk
Report Author: Joel Martin	Social Services & Wellbeing Act Implementation Manager	

EXECUTIVE SUMMARY

EXECUTIVE BOARD
22ND OCTOBER, 2018

CARMARTHENSHIRE COUNTY COUNCIL DIRECT PAYMENTS POLICY

Introduction

Direct payments are a means by which individuals with eligible care and support needs, can purchase their own services to meet those care and support needs. In essence the local authority gives the direct payment recipient a sum of money, which is equivalent to the estimate of the reasonable cost of the service they would have been provided with. Direct payments are an alternative to receiving services arranged or provided by the local authority. They are designed to give the recipient greater control and choice over how their care and support needs are met.

The local authority has a legal obligation to offer direct payments to anyone who has eligible care and support needs.

Direct payments are not a new concept, although it would be fair to say that in recent years the profile of direct payments has become more prominent.

Carmarthenshire County Council has previously had a direct payments policy which had been a regional 3 Counties direct payment policy, across Carmarthenshire, Ceredigion and Pembrokeshire.

In light of changes brought in on 6th April 2016 by the Social Services and Well-being (Wales) Act 2014 it became necessary to amend the existing 3 Counties direct payment policy. Initially Pembrokeshire County Council were going to amend the policy, however by January 2017, Carmarthenshire County Council took the lead in amending the policy.

As a result, the enclosed direct payments policy, reflects amendments required by the Social Services and Well-being (Wales) Act 2014, the Care and Support (Direct Payments) (Wales) Regulations 2015 and the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014.

Set out below are a summary of the main changes to the previous 3 Counties policy.

Main changes to Policy

- As stated above the previous policy was a 3 Counties direct payment policy. Whilst Carmarthenshire County Council remains committed to working in partnership across the region, and has consulted with both Pembrokeshire County Council and Ceredigion County Council on the amended contents of the enclosed policy, the Policy is currently only a Carmarthenshire County Council policy, which can be adopted by the other Councils at a later date. It was considered essential to have an up to date direct payments policy as soon as possible, particularly as a recent internal audit identified a concern about the fact the previous policy was out of date.
- The previous Policy was also intended to be a practitioner guide, so it was entitled 'policy and practice guidance.' However that policy, like the current policy, is a substantial document, which does not work particularly well as a practice guide for practitioners. Practitioner's need easily accessible material to refer to, in order to aid them in their day to day practice. As a result, Carmarthenshire County Council has developed separate practice guidance for staff, and the new policy is no longer also a practice guide for staff.
- The new policy reflects certain changes made by recent legal developments, for example it reflects the fact that a person receiving direct payment can use the direct payment to purchase a service from the local authority, or use the direct payment to purchase a care home placement. Whilst the Council does not expect that individuals will regularly choose to do this, the policy reflects the fact that they can.
- The new policy reflects, a change in approach in the law, towards using a direct payment to employ a family member in the same household, to meet the person's care and support needs. Previous legislation only allowed this to happen in exceptional circumstances. However recent changes in legislation mean that unless it does not promote the well-being of the direct payment recipient, there is nothing preventing a family member living in the same household being employed by the direct payment recipient to provide for their care and support needs.
- Previously Carmarthenshire County Council provided carers grants, which were small sums of money to address emergency situations e.g. if the washing machine, which the unpaid carer used to wash the person they were caring for's clothes, broke down; the grant could be quickly accessed to support the carer in their caring role. However the Social Services and Well-being (Wales) Act 2014, in general terms, prevents local authorities giving sums of money, unless they are through a direct payment. Therefore the carers grant has been changed to a specific type of direct payment, called the Carers Exceptional Circumstances Direct Payment, to mirror the purpose of the previous carers grant.
- Carmarthenshire County Council has slightly changed its approach to requiring Disclosure and Barring Service checks for individuals that the direct payment recipient intends to employ. Whilst the local authority supports the individual's right to choose to

employ whoever they want to meet their care and support needs through a direct payment, it is believed that it is important that the direct payment recipient should make an informed choice. As a result, Carmarthenshire County Council are making it a requirement for all direct payment recipients to obtain a disclosure and barring service check of any criminal convictions of the person they are proposing to employ to meet their care and support needs. This approach aligns with the approach of all of the other local authorities in Wales.

- Under the previous policy when a person moved to another County in Wales, Carmarthenshire County Council would continue to provide a direct payment for an additional period of time to allow the new local authority time to assess the person's needs. This was a reciprocal arrangement which was in place with most local authorities, but was not a legal requirement. In light of changes in the law, if a person is thinking of moving to a new local authority in Wales, Carmarthenshire County Council should inform that new authority, and the new authority should assess the person's needs before they move. In light of this, the agreement to continue to fund someone when they move to a new local authority is no longer necessary.
- Carmarthenshire County Council previously had one direct payment agreement for the recipient to sign, as a means of entering into a contract with the local authority for the provision of such payments. However given that some people will not have mental capacity to enter into such agreements, the Council has developed a slightly different second agreement for individuals who have authority to act on the incapacitated person's behalf i.e. Lasting Powers of Attorney and Deputies.
- Finally in accordance with existing practice, Carmarthenshire County Council has acknowledged that where a personal assistant to a direct payment recipient, is required to regularly take that direct payment recipient on journeys which exceed 3 miles, an additional allowance to be provided to cover those additional travelling costs.

OTHER OPTIONS AVAILABLE AND THEIR PROS AND CONS

- Leave the previous direct payments policy in place, which will not be in compliance with the current legal requirements, which has already been identified as such in a previous internal audit.

DETAILED REPORT ATTACHED ?

Yes - Policy attached.

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: **Neil Edwards** **Interim Head of Integrated Services**

Policy, Crime & Disorder & Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	YES	NONE	NONE	NONE	NONE	NONE

1. Legal

The enclosed direct payments policy has been amended in accordance with the provisions of the Social Services and Well-being (Wales) Act 2014 and the Care and Support (Direct Payments) (Wales) Regulations 2015. If the updated direct payments policy is not adopted, and the Council continues to adopt the previous policy, it will not be in compliance with the current legislative framework.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: **Neil Edwards** **Interim Head of Integrated Services**

1. Scrutiny Committee

Social Care & Health Scrutiny Committee was consulted on 25th September, 2018.

2. Local Member(s) - N/A

3. Community / Town Council – N/A

4. Relevant Partners - the contents of this new policy has been shared with Pembrokeshire and Ceredigion County Council.

5. Staff Side Representatives and other Organisations - N/A

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Carmarthenshire County Council Direct Payments Policy		See attached.

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July 2018



CARMARTHENSHIRE
COUNTY COUNCIL

DIRECT PAYMENT
SCHEME

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This policy supersedes all previous direct payments policies

1. What are Direct Payments

Direct payments are in essence monetary payments which are provided by the local authority to certain individuals in order that they are able to purchase their own goods or services.

Direct payments allow individuals to purchase the care and support/support that they are assessed as needing to support themselves in meeting their own well-being. Direct Payments can offer more choice, control and flexibility to people who would traditionally rely on others to arrange their care and assistance.

Individuals who, following an assessment, have care and support needs which can only be met through a care and support plan are in almost all cases likely to be entitled to direct payments, unless the direct payment would not meet their personal outcomes. Similarly carers who, following an assessment, have support needs which can only be met through a support plan are in almost all cases likely to be entitled to direct payments, unless the direct payment would not meet their personal outcomes. This payment is not a DSS Benefit and will not affect the individual's entitlement to such benefits. All Direct Payments are made to the individual or their representative for purchasing their own care and/or support services and can only be used for this purpose.

It is important to note that direct payments can be made to adults with care and support needs, children with care and support needs, and carers with support needs. The term care and support is widely defined in the Social Services and Well-being (Wales) Act 2014. An adult is any person aged 18 or over. A child is a person under the age of 18 years of age. A carer is a person either providing care or intending to provide care for an adult or a disabled child. In light of the fact that direct payments can be made to a wide range of individuals this policy uses the term 'individual' which is intended to cover all of these groups. Carers with eligible needs have support plans, whereas adults or children with eligible care and support needs have a care and support plan. As a result reference is made throughout to 'care and support/support plan'. In addition the term eligible needs refers to those needs which meet the national eligibility criteria as defined by the Care and Support (Eligibility) (Wales) Regulations 2015. Where an individual is entitled to a direct payment the local authority will provide the individual with the following information:

- How it will meet the individuals needs if those needs are not met by a direct payment
- Confirmation that direct payments are an appropriate way to meet the individuals needs
- Information about the nature of direct payments
- Information about the different ways of managing a direct payment
- The amount of any direct payment and how it has been calculated
- Information about the support available to assist people in managing a direct payment

- Information about the financial assessment process.

Before considering whether a direct payment is an appropriate way of meeting the individual's needs the local authority will consult with the individual (including taking into account any previous wishes of an individual who lacks mental capacity), anyone named by the individual to be consulted with, any suitable person and any person authorised to act on the individuals behalf under the Mental Capacity Act 2005.

2. Legislation and Policy

2.1 The principal legislation which permits Direct Payments is:

- Social Services and Well-being (Wales) Act 2014
- Care and Support (Direct Payments) (Wales) Regulations 2015

2.2 Guidance is provided by

- Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014

3. Eligibility for Direct Payments

3.1 Direct Payments must be offered to individuals with eligible care and support needs and carers with eligible support needs, where that individual or their representative is willing to receive one, and where a direct payment will enable the person to achieve their personal outcomes. Where the local authority also chooses to exercise its discretionary statutory powers to meet that individual's needs it must also offer a direct payment to meet those needs.

3.2 To be eligible for Direct Payments a person or a representative must be willing and able to manage Direct Payments (alone or with assistance). However individuals must not be refused a direct payment purely because they are unable to manage the direct payments unless all options for supporting the individual to manage the direct payment have been explored. The local authority will also not make blanket assumptions that whole groups of people will be unable to manage a direct payment.

3.2.1 Direct Payments can be used to purchase services which the local authority provides.

3.2.2 It is necessary for a written record to be kept to show that a direct payment has been offered to eligible individuals. This will usually be indicated in the care and support/support plan. It is also necessary for a written record to be made where it is determined that a direct payment will not meet a person's personal outcomes. Further it will also be necessary for a written record to be made to show the steps taken to support an individual to manage a direct payment, particularly when all reasonable steps to support a person have been expired. Any recorded reason to refuse a

direct payment must be discussed with the individual and if that individual or their representative disagrees with this decision they should be informed of the right to use the local authority's complaints process.

4. Assessment

4.1 Carmarthenshire County Council must assess an individual who appears to have care and support needs and carers who appear to have support needs. It is very important that the assessment first consider whether the individual/carer's personal outcomes can be met through either: Information, Advice and Assistance; Preventative Services/Community based services; or by the person alone, or with the willing assistance of others. Where a person's personal outcomes/needs cannot be met in this manner and can only be met through a care and support plan/support plan a direct payment will be offered.

The exception to this being where an individual is not eligible for care and support/support from the local authority but the local authority has chosen to exercise its discretionary power to meet those needs in any event.

Suitable Person

Where a person is entitled to a direct payment it is also important to consider as part of the assessment process whether that individual has the mental capacity to manage a direct payment. The assessment of a person's mental capacity to manage a direct payment should be undertaken in accordance with the principles of the Mental Capacity Act 2005 and the Mental Capacity Act: Code of Practice. If an individual lacks mental capacity to manage a direct payment or chooses not to manage the direct payment themselves, the direct payment can be paid to, and managed on their behalf by a suitable person.

If a person lacks capacity to manage a direct payment, and a suitable person is willing to receive the direct payment on their behalf, the suitable person must be able to manage the direct payments either with or without support. Further in order for the suitable person to receive the direct payment the local authority must consider them to have the individual's best interests at heart, as the suitable person must act in the individuals best interests. If the suitable person meets these criteria then the local authority must provide the direct payment to the suitable person.

A suitable person may be appointed by the Courts, by the local authority or by the individual themselves. Paragraph 152 of the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014 provides a list of who should be given priority when considering which person should be an individual's suitable person.

If a suitable person receives a Direct Payment on behalf of an assessed individual then they become the employer of the personal assistant and they are the individual to whom the Direct Payment is paid.

It is acknowledged that mental capacity is not always constant and that some people will have fluctuating capacity. Therefore regular reviews are essential and the need for a suitable person should be considered during these regular reviews. Where the individual is assessed as having fluctuating capacity a suitable person will need to be identified in order to make the Direct Payment award. At times when the individual regains temporary capacity, enquiries should be made with the individual as to whether the suitable person should still receive the Direct Payments, but allow the assessed person to take control until capacity is lost again. It is also important to make the suitable person aware that where a person temporarily lacking mental capacity to manage direct payments regains that capacity that the suitable person has an obligation to inform the local authority of this change in the individual's status.

In addition to the above, a direct payment can also be made to individuals subject to certain requirements related to alcohol and drugs. These requirements are set out in detail in the Schedule to the Care and Support (Direct Payments) (Wales) Regulations 2015. However in order for a direct payment to be made in these circumstances a condition must be attached that the individual agrees that the direct payments are made to another person to manage those payments on the individuals behalf and that the other person agrees to manage those payments.

5. Services in Lieu of which Direct Payments can be made

5.1 Direct Payments can only be made for those services that are the responsibility of a local authority to provide. This means that direct payments cannot be used for the following:

- To meet needs through the provision of healthcare unless it is incidental or ancillary to other care and support/support needs or it is to meet an individual's needs under Section 117 of the Mental Health Act 1983;
- To meet housing services such as rent;
- To someone who does not want a direct payment or someone who requires a suitable person and all options to arrange a suitable person have been expired;
- The direct payments will not meet the individual's personal outcomes.

5.2 People are allowed to have a combination of services which are arranged by the local authority and a service which is arranged by the individuals themselves using Direct Payments.

- 5.3** It is possible for an individual to use a direct payment to employ a relative who is living in the same property, if the local authority considers that such a direct payment is necessary to promote the well-being of the individual. The term relative means ‘a spouse or civil partner; person who lives with the person as if a spouse or civil partner; parent, parent in law, step parent; son or daughter; son in law or daughter in law; stepson or step daughter; brother or sister; aunt or uncle; grandparent; or spouse or civil partner of any of the aforementioned. In considering whether such an arrangement will promote the well-being of the individual, the local authority will take into account Paragraph 165 of the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014 which says ‘Where appropriate safeguards are in place the employment of a relative living in the same household is often the most suitable way of providing care as it enables and support continuity of care, recognition of personal choice and promotes early intervention.’ It is important that the person undertaking the assessment process and developing the individual’s care and support/support plan record in writing whether or not providing a direct payment to an individual to employ a relative in the same household will promote that individual’s well-being.

Carers Exceptional Circumstances Direct Payments

In most cases an individual will either have a care and support or support plan in order to receive a direct payment. However as mentioned above an exception to this is where the local authority chooses to exercise its discretion to meet an individual’s personal outcomes even if those outcomes are not considered an eligible need. Previously Carmarthenshire County Council offered carers a grant to pay for specific items. However the Social Services and Well-being (Wales) Act in essence prevents local authorities making such payments to carers other than through a direct payment. Carmarthenshire County Council has therefore developed the carers exceptional circumstances direct payment to replace the grants system that it previously operated. This type of direct payment is considered a community based preventative service which does not require a support plan. However it is expected that an assessment of the carers support needs will be undertaken prior to this direct payment being offered.

6. Levels of Payment

6.1 For Personal Assistants & Other Services

- 6.1.1** Local Authorities must ensure that the value of a direct payment is equivalent to the estimated reasonable cost of securing the care and support/support required, subject to any contribution which the individual receiving the direct payment is required to make. In calculating the reasonable cost of securing the care and support/support the local

authority will include the inherent costs associated with the individual receiving the direct payment becoming a legal employer.

Hourly rates have been set to enable individuals to pay their personal assistants and to cover extra costs of being an employer. It is acknowledged that such rates will need to ensure that the individual is able to pay the national minimum wage to their personal assistants, where the law requires such. Appendix 1 gives full details of the levels of payment.

- 6.1.2** A payment will be made to cover start-up costs. Appendix 1 gives full details of the levels of payment.
- 6.1.3** Calculation of the level of payment will be made based upon information concerning the number of hours (or sessions for some services or nights when considering respite care – this may vary according to local authority area) required to meet the assessed need of the individual.
- 6.1.4** Where a need is identified in an individual's care and support plan for the requirement of a personal assistant who has specialist skills (e.g. specialist communication skills) then the hourly rates may be increased in order to meet such specialist needs. The local authority's lead officer for Direct Payments should be provided with the individual's assessment and care and support/support plan so that a decision can be reached.

Carmarthenshire County Council only usually provides an additional payment where the individual is assessed as needing regular specific journey's over a 3 mile radius which are identified in the care and support/support plan. It is essential that that plan include details of how such journey's will meet the individual's personal outcomes, how frequently these journeys are required and the distance to be travelled. The mileage rate paid will follow that recommended by HMRC.

6.2 Purchasing Home Care from an Agency

- 6.2.1** For reasons of equity payment levels will be on the same basis as for personal assistants. Appendix 1 gives full details of level of payments.
- 6.2.2** If an individual opts for home care provision from an agency and the agency fee exceeds the local authority hourly rate (as set out in Appendix 1) the individual will be required to pay the difference between the local authority hourly rate and the agency hourly fee and will be required to purchase the full number of assessed hours from the agency as stated in the care and support/support plan. It is expected that the individual will arrange directly with the agency to pay the difference in what the local authority provides as a direct payment and what the home care agency provides.

6.3 Short Term Breaks, Respite and long term care

- 6.3.1** Other than in exceptional circumstances the level of payment for short term breaks should not exceed the usual rate paid by the local authority for such services.

7. Assistance with Direct Payments

- 7.1** The key principle of Direct Payments is that it is the individual, or the suitable person who controls the money. The local authority must ensure that the correct level of support is offered to support the individual or the suitable person to manage the direct payment to have support. Carmarthenshire County Council has contracted a support scheme to support individuals or the suitable person if required (details are attached in Appendix 4). This scheme includes:

- recruitment and support to enable selection of personal assistants, including information about ensuring employees are legally able to work in the United Kingdom.
- support to enable managing personal assistants
- payroll
- assistance with auto enrolment in relation to a pension scheme
- employment advice
- Information visits to enable the individual or suitable person to make informed decisions about direct payments.
- Training for personal assistants
- Assistance with disputes between the individual and the personal assistant

- 7.2** Assessing officers may share the assessment and care and support/support plan documents with the support scheme with the individual's consent, as this aids recruitment and financial management.

8. The Care and Support/Support Plan

- 8.1** In any assessment, the care and support/support plan is an important document which lays out for the individual the services that will be provided to meet that person's personal outcomes. Any service which is to be provided by Direct Payments must be specified in the care and support/support Plan.

- 8.2** The assessing officer should ensure that the care and support/support plan specifically comments on the following:

- the person's outcomes as identified in the assessment;
- the outcomes which the Direct Payments relate to;
- The frequency and amount of direct payment (including any details of additional payments required)
- Whether a suitable person is needed and who that suitable person will be

- how the person will secure the appropriate services (this should be decided by the individual. The local authority should not restrict how the services are provided, so long as they meet the assessed outcomes);
- any variations to the way in which Direct Payments will be used;
- the support, if any, which the individual needs to manage the Direct Payments;
- how the local authority and the individual will handle interim service provision prior to Direct Payments being made.
- Emergency and contingency arrangements should be considered in the Support Plan – see 8.6

8.3 If an individual or suitable person declines assistance from the support scheme, the assessing officer must ensure that the individual or the suitable person understands all the conditions that they need to meet. This includes conditions of contract and circumstances where repayment may be required. The assessing officer must ensure that the individual or the suitable person is aware that they are wholly accountable for the manner in which Direct Payments are spent, and for meeting all legal and health and safety requirements. This includes the individual's or suitable person's responsibility to find out the necessary taxation rules from the HMRC.

If an individual is considering a self-employed personal assistant arrangement then it is their responsibility to complete the HMRC Employment Status Indicator tool (ESI) which will determine the workers' employment status.

8.4 It is necessary to review care and support plans in accordance with the requirements of the Social Services and Well-being (Wales) Act 2014 and the Regulations made thereunder to ensure that services meet the assessed outcomes. This responsibility continues with Direct Payments. Paragraph 142 of the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014 requires that the local authority review an individual's care and support plan within 6 months of the first payment and within 12 months following the first review. At a review where Direct Payments have been made, in addition to the usual areas covered, the assessing officers should discuss the following with the individual:

- that the Direct Payment has been used for services to meet their outcomes as stated in the care and support/support plan
- that the services have been received
- that the money has been spent on a cost effective service
- whether they have faced any difficulty in managing Direct Payments
- whether they are receiving appropriate advice and assistance
- the adequacy of their records for monitoring expenditure and service delivery
- that the personal assistants have received adequate training to ensure competency at the tasks required of them

- if there is a surplus, what is the reason behind the surplus and what steps are to be taken

When reviewing a suitable person Direct Payments consideration must be given to evaluating that the Direct Payments are being managed for the benefit of, and best interests of the individual and not to suit the suitable person's preferences. Care must also be taken to consider safeguarding risks to the individual especially if the individual has difficulty in communicating without the aid of the suitable person.

- 8.5** Assessing officers should note that when exploring with the individual the type of service they intend using to meet their outcomes, the focus should be on whether their assessed outcomes will be met, rather than upon whether the service is provided in any particular way. It is appropriate for the assessing officer to advise the individual of where they can purchase services from, but they should not restrict the individual to any particular service provider.
- 8.6** The support scheme also should explore emergency and contingency arrangements with the individual, so that they are able to agree how temporary breaks in service will be met. This may include for example, the individual making arrangements with a service provider to provide emergency cover to utilise personal assistants on a flexible basis, where people are willing to work extra shifts if required.
- 8.7** Assessing officers should encourage individuals to ask for help and advice if, once they are receiving Direct Payments they have any difficulties or reservations about the services they are purchasing. Assessing officers should make individuals aware that asking for help in this manner will not be seen as an inability to cope, but rather as a productive way of resolving problems.
- 8.8** If the individual is receiving a mixed package of care then the assessing officer must ensure that services not provided via Direct Payments are clearly stated on the care and support/support plan.

9 Contract Agreement

- 9.1** A person who receives Direct Payments will be required to sign a legally binding agreement. That agreement may contain conditions, such as the needs for which the direct payment is provided may not be met by a particular person. The assessing officer should discuss this with the individual and must ensure that the Finance Section who issue the Contract are informed of any difficulties that the individual may be experiencing in meeting the terms of that Contract. A copy of the contract is attached as Appendix 2.

- 9.2** If there is doubt about whether the person understands the nature of the contract due to lack of capacity then consideration can be given to appointing a suitable person.

10 Financial Arrangements

10.1 Financial Assessments

- 10.1.1** Direct Payments are being made in lieu of services which may be chargeable, therefore individuals may be required to make appropriate contributions towards the cost of their services and a financial assessment is applicable as for those individuals who chose to have their services directly provided by the council.
- 10.1.2** Following completion of the financial assessment, the individual will be informed, in writing, of the assessed contribution, i.e. the amount they will be required to pay towards the service they receive.

10.2 Collection of Individual Contribution

- 10.2.1** Where the individual is assessed to contribute a charge for the service, the charge will be deducted from the Direct Payment, so the individual will receive a net payment.
- 10.2.2** Where the individual is assessed to contribute a charge for the service, the service user or the suitable person will be expected to pay the charge into the separate Direct Payments bank account – see 10.3 for further details.
- 10.2.3** In situations where the individual receives both a Direct Payment to meet some care requirements and services provided by the local authority to meet other requirements, different arrangements may be agreed to collect the individual's contribution.

Individuals who are children will not be expected to make a contribution and neither will their parents.

10.3 Bank Accounts

- 10.3.1** It will be necessary for the individual to have a separate current account (from here on referred to as their Direct Payment account) which must only be used for the money received from the local authority for Direct Payments and for their own contributions and for the payment of services for which the Direct Payments are made. The local authority must be provided with the details of the Direct Payment account and be allowed access to all records as required. The Direct Payment account must only be used to receive income and pay expenses in respect of services covered by the Direct Payments.

- 10.3.2** A Bank Details Form must be completed by the individual or suitable person to enable payments to be made via the Banks Automated Clearing System (BACS) directly into the individual's 'Direct Payment account'.

10.3.3 Managed Accounts

- 10.3.4** Where an individual or suitable person is unable to manage their personal finances or unable to open a separate current account then consideration can be given to having a managed account.

The Managed Account Service covers all of the tasks involved in setting up a bank account, maintaining a record of the bank account for financial audit, making sure that the Direct Payments are received and are correct, and making all the necessary payments to Personal Assistants, agencies including HMRC and other providers of the Service.

10.4 Method of Payment

- 10.4.1** Payments will be made net of any contribution for which the individual has been assessed to make.

- 10.4.2** Payments will be made four weekly in advance. For services which are ongoing individuals will normally receive the payment in the first week of each four week period although this may alter in weeks including bank holidays. One off services will also be paid in advance where possible. All payments will normally be made through BACS. The local authority will decide whether to make net or gross payments depending on the individual's circumstances.

- 10.4.3** The individual must also pay their own contribution into the Direct Payment account so that all expenditure is incurred from that account only.

The support scheme contracted by the local authority can be used to assist with setting up Direct Debits to collect the Contributions.

- 10.4.4** See also Section 12 for arrangements while Direct Payments are being agreed.

10.5 Funds for Additional Costs

- 10.5.1** It is permissible for the individual to build up a small amount in their bank account to cover contingency items. This enables individual's flexibility to adjust the amount of the direct payment from week to week. As long as the overall payment is being used to achieve the individual's personal outcomes, the actual weekly pattern of care and support/support does not need to be pre-determined. These will include such things as:

- money accrued to pay an outstanding bill from a service provider
- money being saved up to pay their employees PAYE
- an amount equal to the appropriate number of weeks to cover

- insurance
- annual leave
- sick leave
- payroll and pensions
- advertising
- recruitment
- maternity pay
- Personal Protective Equipment
- training needs - the individual as an employer is responsible for ensuring that personal assistants are competent and confident in undertaking tasks required. This could include training needs such as:
 - Manual handling, specialist communication skills, behavior management etc.

10.6 Accountability

- 10.6.1** The individual or suitable person is accountable for the manner in which the Direct Payments are spent.

10.7 Record Keeping

- 10.7.1** The individual or suitable person will need to keep appropriate records. These will include the following:

- **Income and Expenditure Summary**
This must be recorded and completed record sheets must be returned in accordance with the instructions provided (See Appendix 3). Income and Expenditure Summary.
- **Supporting Documents**
All supporting documents must be retained for a minimum of 7 (seven) years and must not be destroyed without the written agreement of the County Council e.g. invoices, receipts, cheque books, paying in books, bank statements etc.

10.7.2 For those employing Personal Assistants the following must also be retained:

- Personal Assistant's Weekly Timesheet. The Timesheet must record the days on which work was undertaken and the start and finish time of each shift and the number of hours worked.
- Holiday record
- Sickness record

The personal assistant's weekly time sheets should be retained by the individual until asked for [they will be required for Audit purposes.

10.8 Insurance and auto enrolment pensions

- 10.8.1** Information about Insurance Companies offering cover to those employing personal assistants can be obtained through the support scheme or from the local authority.

It is a requirement for individual's employing personal assistants through Direct Payments to have employer's liability insurance.

It is the individual's responsibility to adhere to the exact terms and conditions of the insurer.

- 10.8.2** The law on workplace pensions has changed. Under the Pensions Act 2008, every employer in the UK must put certain staff into a pension scheme and contribute towards it. This is called 'automatic enrolment'.

If an individual employs a personal care assistant then the individual or their suitable person is an employer and therefore has certain legal duties. Please see Appendix 7 for further information.

10.9 Recovery of Payment

- 10.9.1** Whilst it is possible for an individual to accumulate a small amount of direct payments as highlighted above, there will be circumstances where the local authority will need to recover direct payment monies which remain unspent.

Circumstances where payment may be recovered will include the following:

- if the local authority is not satisfied that the Direct Payment is used to secure the provision of services to which the Direct Payment specifically relates;
- or if money is left over, because of reduced prices etc., (less any liabilities or contingencies covered in 10.5 above);
- or if the individual has not met any condition which the local authority has properly imposed (See Appendix 2).
- if there has been an error in processing the payments for any reason
- the individual has died or the service for which the direct payment is made is no longer required due to change of circumstances

However it is important that local authorities consider when to seek recovery on an individual case by case basis, including the hardship caused to the individual and whether there are legitimate reasons for unspent monies. The local authority's aim in recovering money is to recoup monies which have been diverted from the purpose for which they were intended or simply not spent. Recovery will not be used by local authorities to penalise honest mistakes, nor will repayment be sought where the individual is the victim of fraud.

10.10 Use of Individual's Own Resources

- 10.10.1** It is permissible for individual's to add to Direct Payments from their own resources either to purchase additional services and/or to purchase services of a better quality or more expensive than have been agreed under the care and support/support plan. However, it is essential that the individual is made aware that they must not use their Direct Payment account for this payment, and that additional services/more expensive/higher quality services are paid for from another account.
- 10.11 V.A.T.**
- 10.11.1** People who receive Direct Payments may have to pay V.A.T. on some of the services they purchase. However, many services will not incur V.A.T., for example, direct employment of a personal assistant will not incur V.A.T.
- 10.11.2** If the individual does purchase a service on which V.A.T. is charged, they are not able to recover the V.A.T. from Customs & Excise. Clearly this service will cost them more than other services and will also cost more than the equivalent service would cost the local authority which is able to recover V.A.T. payments.
- 10.11.3** This is not to say that individuals cannot purchase services on which V.A.T. is charged, but it is the responsibility of the local authority to ensure that the individual is aware that for some services, there will be no V.A.T. and for others, there will be V.A.T. The level of Direct Payment may not meet the cost of the service on which V.A.T. is charged if that service is able to be provided on a more cost effective basis elsewhere (this being the basis on which payment levels have been set).
- 10.12 Refund for Services Not Provided**
- 10.12.1** If the individual has paid for a service which has not been provided, it is the individual's responsibility to secure a refund for that service, and that as the employer they should seek whatever recourse is necessary to obtain a refund.
- 10.13 Relationship between Monitoring and Review**
- 10.13.1** The individual's financial arrangements with Direct Payments will be subjected to scrutiny, both in the social work review of the care and support/support plan and also through an examination and audit of the income and expenditure by the Finance Officer relating to the Direct Payments agreement. It is essential that the parties carrying out these different types of scrutiny, co-ordinate with each other and share their information. However local authorities will ensure that the financial monitoring arrangements for direct payments are proportionate, and that no decision to cancel or suspend a direct payment will be taken without prior involvement of the individual, their representative and social worker.
- 10.14 Monitoring**

- 10.14.1** The individual or suitable person is required to maintain accurate records of all Income and Expenditure. This will identify if there is a surplus in the account (after allowing for the contingency items outlined in 10.5). This monitoring will be done on the 4 weekly Income and Expenditure forms which should be forwarded by the individual or suitable person to the Direct Payments team at the end of each month. A full audit may also be undertaken periodically.
- 10.14.2** In cases where there is a surplus in the account, action will be taken to either adjust the funds paid to the individual or recover the moneys in another appropriate way e.g. a debtor's invoice.
- 10.14.3** If there is a deficit on the account, then the reasons will be investigated and appropriate action will be implemented e.g. individual or suitable person to make up deficit, Direct Payments withdrawn etc. In such situations this is likely to necessitate a review of the care and support plan.
- 10.14.4** It should be noted that the Local Authority will only monitor that part of the Direct Payment that is made up of money paid by the Council and the individual's contributions.

10.15 Audit

- 10.15.1** Individuals will be advised that in addition to the record keeping outlined they should retain the following documentation for audit purposes:
- evidence that anyone they are employing is legally able to work in the UK
 - bank statements
 - cheque books
 - any bank/building society paying-in books
 - invoices
 - receipts
 - PAYE records
 - National Insurance records
 - Income Tax records
 - other payroll and pension records
 - County Council Financial Transaction records
 - any other documents which can be relied upon to support financial transactions
 - insurance certificates
 - evidence of a Disclosure and Barring Scheme record if appropriate
 - If an individual is considering a self-employed personal assistant arrangement then it is their responsibility to complete the HMRC Employment Status Indicator tool (ESI) which will determine the workers employment status. Copies of the ESI would need to be retained also.

Records should be kept for a minimum of seven years.

10.16 Payments made by individuals or Suitable Person

10.16.1 Payment for care purchased using Direct Payments should always be paid out of the Direct Payment account. It is expected that all payments will be made by cheque or bank transfer. Under no circumstances should cash payments be made.

10.17 Review

10.17.1 The Social Services and Well-being (Wales) Act and the Regulations made thereunder require a review of a child's care and support plan to be undertaken within 6 months of the plan being prepared. In relation to an adults care and support plan this timescale is within 12 months. However there will be a review of the care needs within 6 months after the start of the Direct Payments and then after 12 months, or as directed by the Assessing Officer. Reviews thereafter will be held on an annual basis unless it is deemed that they will be needed more regularly.

A review should also be undertaken in the following circumstances:

- if the individual or the suitable person request a review
- the local authority believes a review is required because there is concern that the direct payment is not meeting the individuals personal outcomes, or conditions attached to the direct payment are not being complied with, or there is a change in the individual or suitable persons circumstances

Individuals or suitable persons should be made aware that they must inform the council if their circumstances change. Examples of changed circumstances can include being in hospital, requiring less care, admission to residential care, requiring more care, or a Direct Payment is no longer required because the need is met in a different way.

When carrying out a review of direct payments, the local authority must involve the following:

- the individual,
- the suitable person,
- any carer of the individual,
- any person who the individual asks the local authority to involve
- If the individual lacks mental capacity any person authorised under the Mental Capacity Act 2005 to make decisions on that persons behalf regarding their care and support,
- If the individual is a child who is aged 16-17 years of age and lacks mental capacity, their parents, if consistent with the individual's well-being
- If the individual is a child under 16 years of age, their parents, if consistent with the individual's well-being

- Any other person the local authority considers to have sufficient involvement in the care and support of the individual

Following the review, the amount of the Direct Payments may need to be increased or decreased in which case the assessing officer will complete a revised care and support/support plan which should be forwarded to the Team Manager for approval. A revised contract will be drawn up by Finance Section and forwarded to the individual or suitable person for signature.

The assessing officer should ensure that information from the review is shared with the person who is doing the financial monitoring for audit purposes.

The individual is obliged to engage with the Assessing Officer in order to enable an informed and comprehensive review.

11.0 Disclosure and Barring Service

The Disclosure and Barring Service checking procedure may vary according to local (county) guidance.

A Disclosure and Barring Service check will be undertaken at no cost to either the employee or the individual.

In some cases a Disclosure and Barring Service check is compulsory, including:

- Children's Direct Payments
- Suitable person Direct Payments where the suitable person is not a relative of the individual or a friend of the individual involved in the provision of care for that individual.
- Employees under a suitable person's Direct Payments
- Please refer to local guidance in Appendix 5

Where a disclosure and barring service check is not compulsory the local authority will work with the individual and any suitable person to identify and manage any risks associated with the provision of the direct payment, so that the individual is supported to make informed choices and made to feel comfortable with positive risk taking.

12. Arrangements While Direct Payments Are Being Agreed

- 12.1** Following the assessment of outcomes, there may be a time lapse between Direct Payments being agreed and their commencement. Direct Payments cannot begin until:

- the individual has been financially assessed and contribution agreed
- and the individual has agreed to any conditions which are necessary for monitoring purposes

At this stage a payment to cover the startup costs (e.g. employers insurance, recruitment costs) will be made, however commencement of the Direct Payments will not commence until:

- the contract has been signed and returned to the local authority
- bank details of the Direct Payments account have been provided
- the Local Authority requires that appropriate insurance is in place
- Disclosure and Barring Scheme checks have been received and considered
- A personal assistant is to be employed then the person(s) has been recruited and a start date has been confirmed.

12.2 The assessing officer and the Finance Officer must ensure that the above conditions are in place before proceeding with a Direct Payment.

12.3 It is likely that an individual will be unable to make arrangements for a service to begin instantly. Therefore the assessing officer may need to arrange for services to be provided on a temporary basis, while the arrangements for Direct Payments and services are being made and finalised.

13. Discontinuing Direct Payments

13.1 Prior to discontinuing a direct payment the local authority will explore all feasible options to continue to meet the individuals care and support needs via a direct payment, where this is not possible to achieve the direct payment will be discontinued.

Direct Payments may be discontinued in situations where:

- the individual is having difficulty in managing money, services, staff or Direct Payment in general
- where Direct Payments no longer meet the assessed care and support/support needs or personal outcomes and it is not possible to amend the direct payment provision to meet those outcomes/needs.
- where a review indicates that neither Direct Payments nor services are necessary
- in situations where there has been misuse of Direct Payments (see 13.4 below)
- where the individual requests that they be replaced by direct services

The Local Authority will retain discretion to reduce the amount of Direct Payment if the recipient is in hospital for a significant period of time.

13.2 The decision to discontinue Direct Payments may be made at any time by either the local authority or the individual. If the reason for discontinuing Direct Payments is due to the individual's difficulty in managing the

payments, then it is essential that the assessing officer first explores whether there are ways to overcome these difficulties.

13.3 If there is a decision to discontinue Direct Payments, then the assessing officer should give the individual or suitable person a minimum of 1 weeks' notice. The actual period of termination notice should have due regard to the employment conditions of the personal assistant(s) and the service user's / suitable person's circumstances at the time.

13.4 In exceptional circumstances, it may be necessary to discontinue Direct Payments without giving notice. These circumstances include:

- misappropriation of funds
- serious misconduct on the part of the individual or suitable person
- contravention of the rules governing Direct Payments
- if there is a breach of the contract between the local authority and the service user/suitable person.
- Individual no longer requires a Direct Payment.

The assessing officer should explain the above to the individuals or suitable person before they begin to receive Direct Payments.

Where an individual decides to discontinue direct payments, the local authority will make alternative arrangements to meet that individual's eligible care and support needs/support needs. The local authority will also make the individual aware of their contractual responsibilities and the consequences of discontinuing the direct payment.

13.5 Where an individual dies the Direct Payments will cease. Such situations will be handled with the utmost sensitivity. The local authority will obtain the details of those responsible for the deceased's estate to close the Direct Payment account and to make payment for any outstanding responsibilities. Employees will have to have their employment terminated, final returns/income and expenditure sheets will have to be submitted once the final bank statement is received and after due process, the remaining balance in the account will have to be returned to the local authority. Those in receipt of Direct Payments should advise those potentially handling their estate of this process.

14. Transitional Arrangements – Young Persons into Adulthood

14.1 In some cases the young person at age 16 or 17 may wish, as part of the transition to adulthood, to take control of parts or all of the Direct Payment that has to date been managed by the person with parental responsibility.

14.2 A plan to develop a young person's ability to manage the Direct Payment can be put in place during the transitional arrangements, whereby the young person manages only a proportion of their support with a Direct Payment. This preparation could increase as the young person matures, with the objective of full management of the Direct Payment by the age of 18.

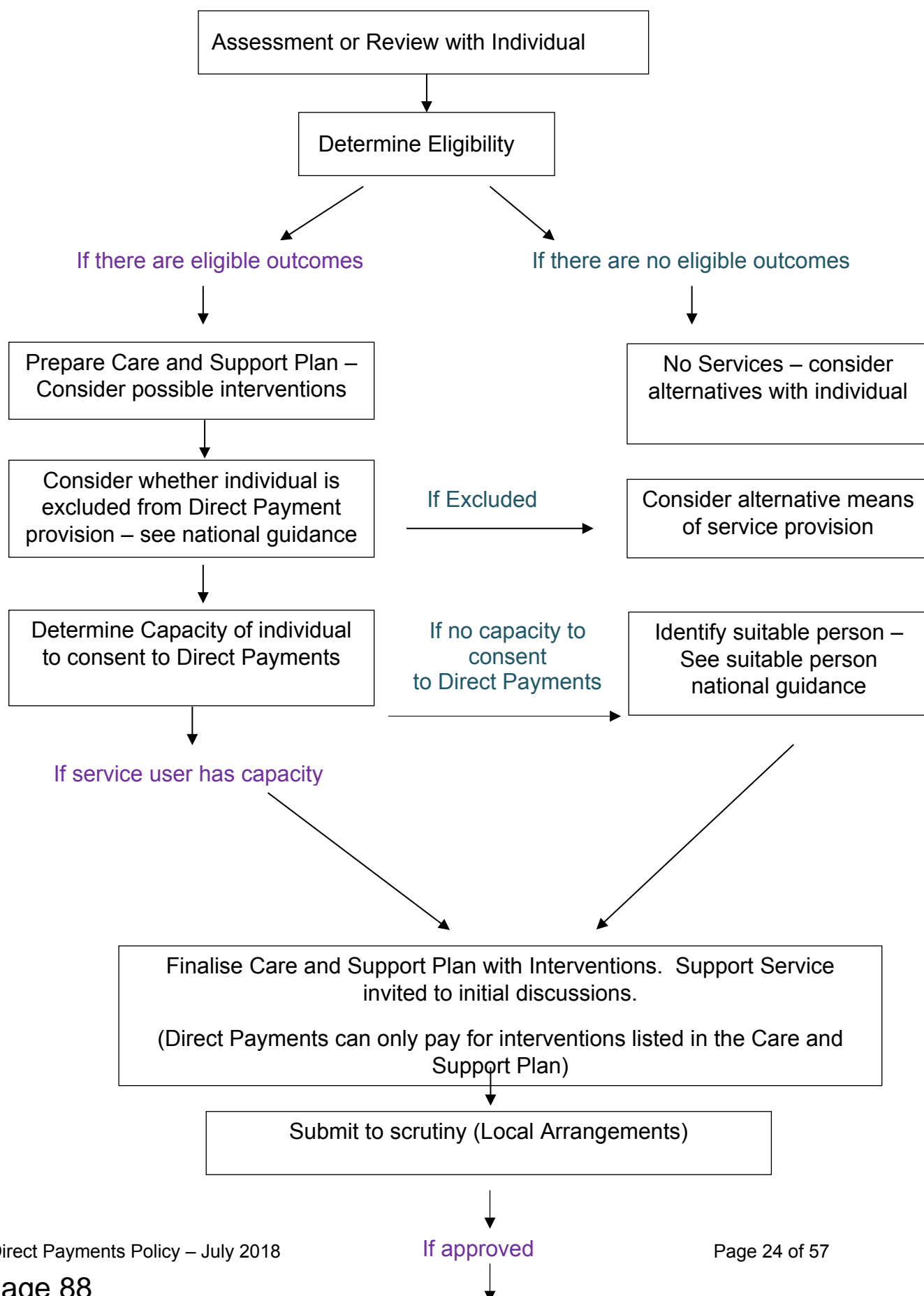
15 Complaints Procedure

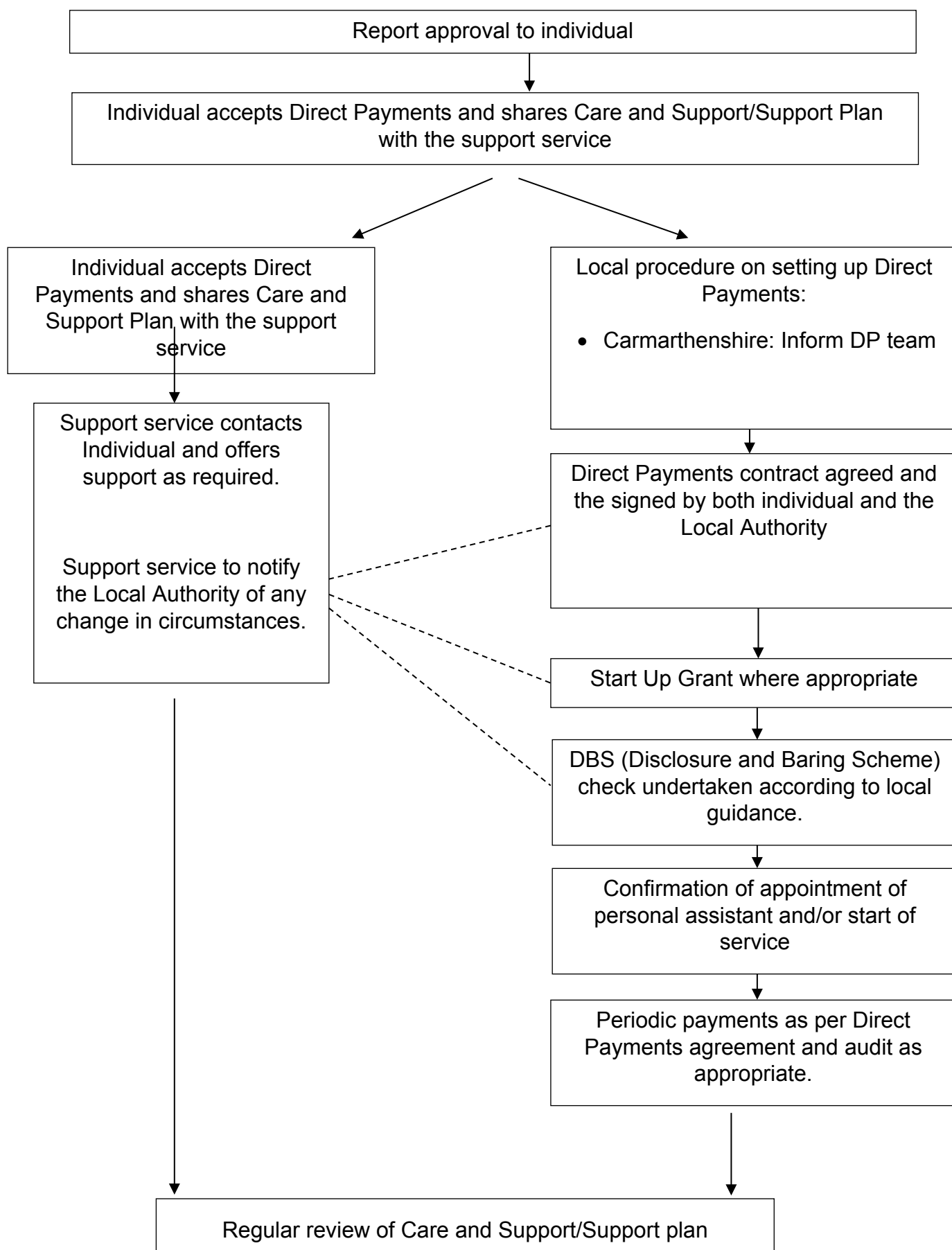
Subject to the below if an individual has any dispute with regards to the Direct Payment then they should be advised to use the Local Authority's Complaints Procedure.

However if the individual has a dispute about the amount of financial contribution that they are required to make towards the direct payment then the local authority's review of charging process should be used.

15.1 This procedure has been published and the individual will receive a copy of the procedure. They will be informed of the process involved in making a complaint.

16 The Direct Payment Process





16.2 Discontinuation / Suspension

- 16.2.1** Any serious matter which may arise and could lead to discontinuation should be discussed with the local authority lead officer for Direct Payments.

17 Procedure For Administration And Financial Staff

17.1 Payments Procedure

- 17.1.1** Initial payments and one-off payments will be made in advance where possible.

- 17.1.2** Regular payments will be made by the Banks Automated Clearing System (BACS). Payments will be made four weekly in advance. Payments would normally be received in the individual's account in the first week of each four-week period, although this may change in weeks which include bank holidays. Before the first payment can be processed, the Direct Payment Team must receive copies of the following:

- Allocation/Approval of Direct Payment
- Support/ Care Plan
- Signed contract
- Individual/Direct Payments account details
- Confirmation that the personal assistant has been recruited (if a personal assistant is to be employed)
- Confirmation of service commencement, or alternative service provision

- 17.1.3** A payment advice is produced by the creditor payments system and is sent direct to the service user advising of the amount and weeks covered. The payment details and the period covered appears in the description on the remittance advice sheet.

17.2 Collection of Individuals Contribution

- 17.2.1** Services which are assessed and met through a Direct Payment maybe a service(s) with a charge. Where this is the case, and the individual is liable for a charge, then the individual's contribution (charge) for their Direct Payment is deducted from the Direct Payment amount paid to them so that they receive a net payment. The individual must therefore deposit his/her contribution into their personal Direct Payment bank account promptly each period. Where there is a mix of Direct Payments and other chargeable services then the individual will be advised of how to pay their contribution as it may be appropriate to collect the service user's contribution in a different way.

17.3 Recovery Procedures

17.3.1 When there is overpayment or a surplus in the account for any reason then this will be recovered usually in one of the following ways:

- where regular payment is continuing, adjustment will be made to these payments to recover the surplus
- If Direct Payments are not continuing a letter will be sent to the individual to ask for the surplus to be returned. An invoice may also be raised on the corporate debtors system to recover the full amount due.

17.3.2 When the individual is required to repay money that has been spent on services which were not included in the Direct Payments agreement, or where the service user did not meet the conditions for using Direct Payments which the local authority had properly imposed, then the monies will be recovered as in 17.3.1 above, or alternatively the usual debt recovery procedures will be used.

17.4 Office Administrative Record Keeping

Administrative staff will need to keep a record of:

- payments,
- individual's contributions and how the contribution is being collected.
- any combination of service and Direct Payments which the individual is receiving.

18 Cross border protocol

Please see Appendix 6.

19 Equipment for daily Living

19.1 The Direct Payments legislation allows Local Authorities to make Direct Payments available to enable people to purchase for themselves equipment and temporary adaptations, and local authority services which would otherwise have been provided by the Local Authority.

19.2 Direct Payments in this instance cannot be used to purchase services or equipment for which the Authority is not responsible, for example, equipment that the NHS provides unless they are incidental and ancillary to the individual's care and support/support needs. Direct Payments are not a substitute for Disabled Facilities Grant for property adaptations. The same principles apply to offering Direct Payments for equipment, as apply to any other kind of service. The amount given to the individual to purchase an item of equipment must be equal to the amount the local authority would have to spend on providing that item of equipment. In the event that the individual wishes to purchase a more expensive piece of equipment to that which would adequately meet their needs then they

would be responsible for paying the difference between what the local authority would pay and what the individual would like to purchase.

19.3 Direct Payments can be awarded for the purchase of equipment in certain circumstances and the responsibilities of the individual and the local authority will be set out in a separate specific contract which will be agreed prior to the direct payment being processed.

19.4 In considering both the cost that is reasonably needed by the individual and whether it is cost-effective for a Direct Payment to be used, staff need to bear in mind, the difference in VAT treatment in relation to whether equipment is purchased by the Department or the individual.

19.5 Steps to providing Direct Payments for Equipment

Assessment	Does not change, the process is exactly the same and authorised through the normal channels. If the equipment would normally be provided through existing contracts or is a 'special' item then cash equivalent could be offered as a Direct Payment.
Choices	Once the assessment has shown the individual is eligible for a service and the equipment has been identified the individual should then be informed of the choices on how the equipment can be provided.
Making Payment	Local guidance applies.
Paperwork	The provision of equipment requires an assessment, (with costs). In Carmarthenshire County Council equipment provided through an Occupational Therapy assessment or an assessment by a sensory impairment officer is considered a preventative service and therefore no care and support plan, or support plan in the case of a carer, is provided.

APPENDICES

Appendix 1 – User Rates of Pay for Carmarthenshire

Please refer to Carmarthenshire County Council's Charging Policy

Appendix 2 – Direct Payments Agreement

DIRECT PAYMENTS AGREEMENT

CONDITIONS OF CONTRACT

THIS AGREEMENT IS MADE ON

BETWEEN:

(1) Carmarthenshire County Council, 3 Spilman Street, Carmarthen SA31 1LE (“The Council”)

&

(2)

(“The Individual”)

WHEREAS:

- (i) The Council in exercise of its powers under the Social Services and Well-being (Wales) Act 2014 and Care and Support (Direct Payments)(Wales) Regulations 2015 will make Direct Payments to the individual to enable the individual to purchase services required to meet his or her assessed care and/or support needs, identified in the attached Care and Support Plan/Support Plan, and
- (ii) The Individual wishes to receive the direct payments from the Council and is willing to purchase and control the services required to meet his or her assessed care and support needs.

The Council and the Individual agree as follows:

1. The Council shall provide the direct payments as stated in this Agreement.
2. The Individual shall (alone or with assistance) manage the direct payments made in accordance with this Agreement.

1. Definitions

“The Council” means Carmarthenshire County Council

“Agreement” means these conditions, appendices and your Care and Support/Support Plan.

“Agreed Sum” means the Council’s contribution to your Direct Payments as stated (condition 7.1).

“Assessed Contribution” means the amount of money that you have been assessed as having to contribute to your care package.

“Care and Support Plan/Support Plan” means a document agreed with you that details your care and support/support needs and how your needs will be met, including the types of services that you may purchase with the Direct Payments. The Care and Support Plan/Support plan is part of this agreement.

“Direct Payments” means the money you use to purchase your services as part of this agreement.

“Direct Payments Bank Account” means a separate cheque account (and in the event that a cheque account is unavailable a separate bank account) set up by you that you will use only for your Direct Payments and your Independent Living Fund payments, in so far as they exist.

“Individual” means “you”.

“Provider” means someone who directly provides a service for you.

2. Commencement and Duration

- 2.1** This Agreement shall start on the and shall continue until ended by either you or the Council in accordance with condition 17.

3. Entire Agreement

- 3.1** This agreement is the whole agreement between you and the Council about Direct Payments.

4. The Service

- 4.1** You can only purchase services that meet the needs detailed in your care and support/support plan.

5. The Council's Obligations

- 5.1** The Council will pay to you its contribution as stated in condition 7.1.
- 5.2** If you are unable to manage your Direct Payments or you misuse them the Council will be responsible for providing or arranging appropriate services to meet your assessed needs, providing you remain eligible for those services, according to the Care and Support (Eligibility) (Wales) Regulations 2015.
- 5.3** The Council will review your care and support/support plan initially within 6 months and thereafter at least once every year or more often if either you or the Council thinks it is necessary.

6. Your Obligations

- 6.1** You must manage the direct payments in accordance with this agreement.
- 6.2** You must pay your assessed contribution into your Direct Payments Bank Account.
- 6.3** The Direct Payments are made to you on condition that you only spend it to purchase the services detailed in your Care and Support/Support Plan.
- 6.4** You must ensure that you receive all the services you have paid for.
- 6.5** You must keep and maintain the records detailed in this agreement.
- 6.6** You must ensure that the services you buy are cost effective.
- 6.7** If you employ staff to provide you with the services listed in your Care and Support/Support Plan you will be responsible for all the duties, liabilities and obligations of an employer.
- 6.8** You must ensure that the required insurance is in place at all times.
- 6.9** You must promptly tell the Council if your care needs change, your financial circumstance change or if you go into hospital.

7. Contributions to Direct Payments

- 7.1** Your Care and Support Plan will detail the amount of direct payments that you require to meet your assessed and eligible care and support needs.
 - 7.1.1** The Council will assess your financial contribution towards this direct payment in accordance with the Care and Support (Financial Assessment) (Wales) Regulations 2015 and Care and Support (Charging) (Wales) Regulations 2015

7.1.2 The Council will make a direct payment to you net any contribution that you are required to make in accordance with the financial assessment as set out in 7.1.1

7.2 If at anytime you become hospitalised or are unable to receive services and employ a personal assistant funded from the direct payments either directly or through an agency the following will apply:-

The council will pay the full direct payment for up to eight weeks in any financial year and thereafter will reduce payment to 70% of the weekly Direct Payment until the social worker determines that the Direct Payment Scheme is no longer viable and must be suspended. The social worker will give notice in accordance with the Personal Assistants contract of employment with the client, but in any event no more than 12 weeks. The Council reserve the right to recover any surplus payments which may accrue as a result of this clause.

8. How the Direct Payments are paid to you

8.1 Upon this Direct Payment agreement being signed by You, the Council will make Payments from the date that it is satisfied the services set out in the individual's care and support/support plan are procured or delivered.

8.2 The Council will pay its contribution directly into your Direct Payments Bank Account, four weekly in advance for regular payments, and in advance where possible for periods of respite care which are at fixed intervals.

8.3 If at any time you are assessed as needing an additional service the Council may pay you separately for that service and whenever possible will make the payment in advance. You must deposit this payment into you Direct Payments Bank Account.

8.4 You must pay your assessed contribution into your Direct Payments Bank Account every four weeks.

9. Administration of Direct Payments

9.1 You must open a separate Direct Payments bank account for all your Direct Payments.

9.2 All payments from your Direct Payments Bank Account should usually be made by cheque or Bank Automated Credit System credit transfer, however you may use cash in exceptional circumstances where it is impractical to use a cheque or Bank Automated Credit System credit transfer. If you do use cash you must ensure that you receive and keep a receipt for every transaction.

9.3 You are responsible for the payment of all bank charges levied on your Direct Payments Bank Account.

10. Additional Costs

10.1 You may keep an amount of funds in your Direct Payments Bank Account to cover additional costs. The level of these funds will be reviewed periodically by Carmarthenshire County Council. Additional costs can include the following:

- Employees PAYE and payroll costs
- Insurance costs
- Annual leave costs
- Sick leave costs
- Short periods of hospital admission that you cannot arrange to coincide with your staff's leave
- Advertising and recruitment costs
- Support services, which may include training and peer support

10.2 If at any time it appears to the Council that the funds in the Direct Payment bank account are over above that which is reasonably necessary, including an element for additional costs as mentioned above, the Council at its discretion will either seek recovery of this amount from You by sending an invoice setting out the amount due or by reducing a subsequent payment to you by the amount of surplus.

10.3 Where additional costs to purchase care are incurred or are likely to be incurred in the future, then it is your responsibility to advise Carmarthenshire County Council of these at the earliest possible time. Carmarthenshire County Council will consider each individual case and will determine whether additional direct payments may be made on a temporary basis to cover these.

11. Financial Monitoring and Records

You must maintain a record of all income and expenditure relating to this contract in the record book provided and all supporting documents must be retained for at least seven years and must not be destroyed without written approval from Carmarthenshire County Council. Examples of supporting documents which must be retained are as follows:-

- bank statements
- cheque books
- bank/building society paying in books
- invoices
- receipts
- PAYE records
- NI records
- Income Tax records
- Insurance certificates

- 11.1** At the end of each calendar month you must sign and detach the expenditure and income record sheet and care provision record sheet and forward them to the address shown in the record book.
- 11.2** If you employ a personal assistant then you must ensure that a weekly time sheet is completed showing the times and days that the employee is working. You must retain these timesheets for at least 7 years.
- 11.3** It is important that, wherever possible, you have supporting documents for all transactions. It is your responsibility to ensure that these documents are sought and retained.
- 11.4** This agreement only deals with the records the Council requires you to keep. You may be required to keep records by other bodies e.g. Inland Revenue, and you must check to find out what those records are and how long you must keep them for.

12. Monitoring

- 12.1** The Council is entitled to take reasonable steps to monitor how you are using your Direct Payments and to make sure you are receiving the services in your Care and Support/Support Plan.
- 12.2** You must allow Council Officers, or anybody authorised by the Council, to have access to all records that you are responsible for keeping. You must make any changes to your record keeping that the Council asks for and you must co-operate with any monitoring carried out by the Council.
- 12.3** The Council shall have the right to carry out unannounced monitoring visits, and if such a visit is carried out you must allow the Officers who attend to have access to all records that you are responsible for keeping. If the officers make any recommendations about your records and/or your procedures for maintaining them you must implement those recommendations.

13. Insurance

If you employ personal assistants you must ensure that you have relevant insurance cover to meet your responsibilities as an employer.

14. Review

- 14.1** The Council will review your care and support/support plan initially within 6 months and at least once every year or more often if either you or the Council thinks it is necessary. At this review, in addition to reviewing whether the services continue to meet your assessed needs, the following will also be considered:

- 14.1.1** Whether the Direct Payments have only been used to purchase services to meet the needs detailed in your Care and Support/Support Plan;
 - 14.1.2** Whether the services have been received;
 - 14.1.3** Whether you have taken all reasonable steps to ensure that Direct Payments have been spent on cost effective services;
 - 14.1.4** Whether you have experienced any difficulties in managing direct payments;
 - 14.1.5** Whether you are receiving appropriate advice and assistance in managing your Direct Payments;
 - 14.1.6** Whether you are maintaining adequate records for monitoring purposes.
- 14.2** Once the review meeting has taken place the Council will write to you detailing the outcome of the review, and shall make any changes to your care plan which were agreed in the review meeting.

15. Excluded Service Providers

- 15.1** You must not under any circumstances use your Direct Payments to purchase services from the following:
- 15.1.1** The National Health Service;
 - 15.1.2** A relative living in the same household, where that arrangement does not promote the individual's well-being. For the purpose of this agreement a relative will be: a spouse or civil partner; a person who lives with a person as if a spouse or civil partner; parent, parent in law or step parent; son or daughter; son in law or daughter in law; stepson or stepdaughter; brother or sister; aunt or uncle; grandparent; or the spouse or civil partner of any of the people previously mentioned. For the purposes of this agreement, when considering whether such a relative living in the same household will promote an individual's well-being, Carmarthenshire County Council will take into accounts the individual's views before coming to a decision.

16. Changes to the Agreement

- 16.1** Carmarthenshire County Council retain the right to vary **this** agreement and you will be notified of any such variations.

17. Termination (Ending the Contract)

- 17.1** Either you or the Council can end this agreement by giving 5 weeks written notice to the other, or by a shorter period if both agree. Notices should be sent by recorded delivery to the addresses shown on page 1 of the Agreement. If you and the Council agree to end the contract in this way you will be liable to promptly repay to the Council:
- 17.1.1** Any money in your Direct Payments Bank Account including any accrued interest after all outstanding invoices have been paid.
 - 17.1.2** Any monies paid to a Provider or any other for services which you have not received. You are responsible for recovering any monies paid to the Provider or any other person for services which you have not yet received.
 - 17.1.3** Any direct payment monies which have not been used to meet your care and support needs
- 17.2** The Council can give written notice to end this agreement with immediate effect if:
- 17.2.1** You breach any of the conditions of this agreement and/or fail to carry out any action reasonably requested by the Council.
 - 17.2.2** A Council Officer has reasonable grounds to believe you are misusing your Direct Payments.
 - 17.2.3** You become bankrupt or make a composition or arrangement with your creditors or have a proposal in respect of your company for voluntary arrangement for a composition of debts or scheme or arrangements approved in accordance with the Insolvency Act 1986.
 - 17.2.4** Carmarthenshire County Council determine that you are unable to manage your direct payments.
- 17.3** In the event of your death this Agreement will terminate and the Council is entitled to recover from your Estate the total of any money including accrued interest, in your Direct Payment bank Account after all outstanding invoices for services provided under this Agreement have been paid.

18. Complaints

- 18.1** If you are unhappy about anything connected with the Direct Payments scheme you are entitled to use the Council's Complaints procedure.

Signed for and on behalf of the Council

Signed by the Individual

Signature:

Signature:

Name:

Name:

Title:

Date:

Date:

Direct Payments

CONFIRMATION OF RECRUITMENT

Personal Assistant's

Name: _____

Individual's Name: _____

Address: _____

I confirm that I have now successfully recruited carers who will be starting work on _____

I should therefore be grateful if you could commence paying four-weekly Direct Payments into my account the details of which are as follows:

CONFIRMATION OF BANK DETAILS

Bank: _____

Address: _____

Account Details: _____

Sort Code: _____

Account Number: _____

Signed: _____

Date: _____

Please return form to: Carmarthenshire County Council. Communities Directorate, Business Support Section, 3 Spilman Street, Carmarthen, SA31 1LE

DIRECT PAYMENTS AGREEMENT

CONDITIONS OF CONTRACT

THIS AGREEMENT IS MADE ON

BETWEEN:

(1) Carmarthenshire County Council, 3 Spilman Street, Carmarthen SA31 1LE ("The Council")

&

(2) ("The Suitable Person" on behalf of the "Individual")

WHEREAS:

- (i) The Council in exercise of its powers under the Social Services and Well-being (Wales) Act 2014 and Care and Support (Direct Payments) (Wales) Regulations 2015 will make Direct Payments to the Individual. The Individual has been assessed as lacking mental capacity to manage their own direct payments, even with support, or the individual is a child and the person managing their direct payments is a parent or person with parental responsibility. Therefore the suitable person has been appointed to act on behalf of the Individual to enable the Individual to purchase services required to meet his or her assessed care and/or support needs, identified in the attached Care and Support Plan/Support Plan, and
- (ii) The Suitable Person is willing to receive the direct payments on behalf of the individual from the Council and is willing to purchase and control the services required to meet the individual's assessed care and support needs.

The Council and the Suitable Person agree as follows:

- 3. The Council shall provide the direct payments as stated in this Agreement.
- 4. The Suitable Person shall (alone or with assistance) manage the direct payments made in accordance with this Agreement.

1. Definitions

“The Council” means Carmarthenshire County Council

“Agreement” means these conditions, appendices and the Individual’s Care and Support/Support Plan.

“Agreed Sum” means the Council’s contribution to the Individual’s Direct Payments as stated (condition 7.1).

“Assessed Contribution” means the amount of money that the Individual have been assessed as having to contribute to your care package (If the individual is a child there will be no assessed contribution).

“Care and Support Plan/Support Plan” means a document agreed in the Individual’s best interest and that details the care and support/support needs and how the needs will be met, including the types of services that the Suitable Person may purchase with the Direct Payments. The Care and Support Plan/Support plan is part of this agreement.

“Direct Payments” means the money the Suitable Person will use to purchase the Individual’s services as part of this agreement.

“Direct Payments Bank Account” means a separate cheque account (and in the event that a cheque account is unavailable a separate bank account) set up by the Suitable Person that they will use only for the Direct Payments and any Independent Living Fund payments, in so far as they exist.

“Individual” means “person with care and support needs” as defined by the Social Services and Well-being (Wales) Act 2014, Care and Support (Direct Payments) (Wales) Regulations 2015 and the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014 .

“Provider” means someone who directly provides a service for you.

“Suitable Person” means a person as defined in the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014, or the parent or other person with responsibility for a child who is an Individual as defined in this Agreement

2. Commencement and Duration

- 2.2 This Agreement shall start on the and shall continue until ended by either the Suitable person or the Council in accordance with condition 17.

3. Entire Agreement

- 3.1** This agreement is the whole agreement between the Suitable Person and the Council about Direct Payments.

4. The Service

- 4.1** The Suitable Person can only use the direct payments to purchase services that meet the needs detailed in the Individual's care and support/support plan.

5. The Council's Obligations

- 5.1** The Council will make its contribution as stated in condition 7.1.
- 5.2** If the Suitable Person is unable to manage the Direct Payments or misuse them the Council will be responsible for providing or arranging appropriate services to meet the Individual's assessed needs, providing they remain eligible for those services, according to the Care and Support (Eligibility)(Wales) Regulations 2015.
- 5.3** The Council will review the Individual's care and support/support plan initially within 6 months and thereafter at least once every year or more often if necessary.

6 The Suitable Person's Obligations

- 6.1** The Suitable Person must manage the direct payments in accordance with this agreement.
- 6.2** The Suitable Person must ensure that arrangements are in place for the Individuals assessed contribution to be paid into the Direct Payments Bank Account.
- 6.3** The Direct Payments are made to the Suitable Person on condition that they only spend it to purchase the services detailed in the Individual's Care and Support/Support Plan.
- 6.4** The Suitable Person must ensure that the Individual receives all the services that have been have paid for.
- 6.5** The Suitable Person must keep and maintain the records detailed in this agreement.
- 6.6** The Suitable Person must ensure that the services you buy are cost effective.
- 6.7** If the Suitable Person employs staff to provide the Individual with the services set out in the Care and Support/Support Plan the Suitable Person will be responsible for all the duties, liabilities and obligations of an employer.

- 6.8 The Suitable Person must ensure that the required insurance is in place at all times.
- 6.9 The Suitable Person must promptly tell the Council if the Individual's care and support needs change, the Individual's financial circumstance change or if or if the individual or Suitable Person go into hospital.

7. Contributions to Direct Payments

- 7.2 The Individual's Care and Support Plan will detail the amount of direct payments that the Individual requires to meet their assessed and eligible care and support needs.

7.1.1 The Council will assess the individual's financial contribution towards his or her direct payment in accordance with the Care and Support (Financial Assessment) (Wales) Regulations 2015 and Care and Support (Charging) (Wales) Regulations 2015. In the case of a child who is the Individual for the purposes of this agreement no contribution will be sought.

7.1.2 The Council will make a direct payment to the Suitable Person net any contribution that the Individual is required to make in accordance with the financial assessment as set out in 7.1.1

- 7.3 If at any time the Individual becomes hospitalised or is unable to receive services and employ a personal assistant funded from the direct payments either directly or through an agency the following will apply:-

The council will pay the full direct payment for up to eight weeks in any financial year and thereafter will reduce payment to 70% of the weekly Direct Payment until the social worker determines that the Direct Payment Scheme is no longer viable and must be suspended. The social worker will give notice in accordance with the Personal Assistants contract of employment with the client, but in any event no more than 12 weeks. The Council reserve the right to recover any surplus payments which may accrue as a result of this clause.

8. How the Direct Payments are paid to you

- 8.1 Upon this Direct Payment agreement being signed by the Suitable Person, the Council will make payments from the date that it is satisfied the services set out in the individual's care and support/support plan are procured or delivered.
- 8.2 The Council will pay its contribution directly into the Direct Payments Bank Account, four weekly in advance for regular payments, and in advance where possible for periods of respite care which are at fixed intervals.
- 8.3 If at any time the Individual is assessed as needing an additional service the Council may pay separately for that service and whenever possible will make

the payment in advance. The Suitable Person must deposit this payment into you Direct Payments Bank Account.

- 8.4** The Suitable Person must pay the Individual's assessed contribution into the Direct Payments Bank Account every four weeks.

9. Administration of Direct Payments

- 9.1** All payments from the Direct Payments Bank Account should usually be made by cheque or Bank Automated Credit System credit transfer, however y cash may be used in exceptional circumstances where it is impractical to use a cheque or Bank Automated Credit System credit transfer. If cash is used the Suitable Person must ensure that they receive and keep a receipt for every transaction.

- 9.2** The Suitable Person is responsible for the payment of all bank charges levied on the Direct Payments Bank Account.

10. Additional Costs

- 10.1** The Suitable Person may keep an amount of funds in the Direct Payments Bank Account to cover additional costs. The level of these funds will be reviewed periodically by Carmarthenshire County Council. Additional costs can include the following:

- Employees PAYE and payroll costs
- Insurance costs
- Annual leave costs
- Sick leave costs
- Short periods of hospital admission that you cannot arrange to coincide with your staff's leave
- Advertising and recruitment costs
- Support services, which may include training and peer support

- 10.2** If at any time it appears to the Council that the funds in the Direct Payments bank account are over and above that which are reasonably necessary, including an element for additional costs as mentioned above, the Council at its discretion will either seek recovery of this amount by sending an invoice setting out the amount due or by reducing a subsequent payment by the amount of surplus.

- 10.3** Where additional costs to purchase care are incurred or are likely to be incurred in the future, then it is the Suitable Person's responsibility to advise Carmarthenshire County Council of these at the earliest possible time. Carmarthenshire County Council will consider each individual case and will determine whether additional direct payments may be made on a temporary basis to cover these.

11. Financial Monitoring and Records

11.1 The Suitable Person must maintain a record of all income and expenditure relating to this contract in the record book provided and all supporting documents must be retained for at least seven years and must not be destroyed without written approval from Carmarthenshire County Council. Examples of supporting documents which must be retained are as follows:

- bank statements
- cheque books
- bank/building society paying in books
- invoices
- receipts
- PAYE records
- NI records
- Income Tax records
- Insurance certificates

11.2 At the end of each calendar month the Suitable Person must sign and detach the expenditure and income record sheet and care provision record sheet and forward them to the address shown in the record book.

11.3 If the Suitable Person employs a personal assistant then you must ensure that a weekly time sheet is completed showing the times and days that the employee is working. You must retain these timesheets for at least 7 years.

11.4 It is important that, wherever possible, the Suitable Person has supporting documents for all transactions. It is the Suitable Person's responsibility to ensure that these documents are sought and retained.

11.5 This agreement only deals with the records the Council requires the Suitable Person to keep. The Suitable Person may be required to keep records by other bodies e.g. Inland Revenue, and you must check to find out what those records are and how long you must keep them for.

12. Monitoring

12.1 The Council is entitled to take reasonable steps to monitor how the Suitable Person is using the Direct Payments and to make sure the Individual is receiving the services in their Care and Support/Support Plan.

12.2 The Suitable Person must allow Council Officers, or anybody authorised by the Council, to have access to all records that you are responsible for keeping. The Suitable Person must make any changes to the record keeping that the Council asks for and the Suitable Person must co-operate with any monitoring carried out by the Council.

12.4 The Council shall have the right to carry out unannounced monitoring visits, and if such a visit is carried out the Suitable Person must allow the Officers who attend to have access to all records that the Suitable Person is

responsible for keeping. If the officers make any recommendations about the records and/or the procedures for maintaining them the Suitable Person must implement those recommendations.

13. Insurance

If the Suitable Person employs personal assistants they must ensure that they have relevant insurance cover to meet their responsibilities as an employer.

14. Review

14.1 The Council will review the individual's care and support/support plan initially within 6 months and at least once every year or more often as necessary. At this review, in addition to reviewing whether the services continue to meet the Individual's assessed needs, the following will also be considered:

14.1.1 Whether the Direct Payments have only been used to purchase services to meet the needs detailed in the Care and Support/Support Plan;

14.1.2 Whether the services have been received;

14.1.3 Whether all reasonable steps have been taken to ensure that Direct Payments have been spent on cost effective services;

14.1.4 Whether any difficulties have been experienced in managing Direct Payments;

14.1.5 Whether appropriate advice and assistance was received in Managing the Direct Payments;

14.1.6 Whether the Suitable Person is maintaining adequate records for monitoring purposes.

14.2 Once the review meeting has taken place the Council will write to the Suitable Person detailing the outcome of the review, and shall make any changes to the care and support plan which were agreed in the review meeting.

15. Excluded Service Providers

15.1 The Suitable Person must not under any circumstances use Direct Payments to purchase services from the following:

15.1.1 The National Health Service;

15.1.2 A relative living in the same household, where that arrangement does not promote the individual's well-being. For the purpose of this agreement a relative will be: a spouse or civil partner; a person who lives with a person as if a spouse or civil partner; parent, parent in law or step parent; son or daughter; son in law or daughter in law; stepson

or stepdaughter; brother or sister; aunt or uncle; grandparent; or the spouse or civil partner of any of the people previously mentioned. For the purposes of this agreement, when considering whether such a relative living in the same household will promote an individual's well-being, Carmarthenshire County Council will take into accounts the individual's views before coming to a decision.

16. Changes to the Agreement

- 16.1** Carmarthenshire County Council retain the right to vary **this** agreement and the Suitable Person will be notified of any such variations.

17. Termination (Ending the Contract)

- 17.1** Either the Suitable Person or the Council can end this agreement by giving 5 weeks written notice to the other, or by a shorter period if both agree. Notices should be sent by recorded delivery to the addresses shown on page 1 of the Agreement. If the Suitable Person and the Council agree to end the contract in this way the Suitable Person will be liable to promptly repay to the Council:

17.1.1 Any money in the Direct Payments Bank Account including any accrued interest after all outstanding invoices have been paid.

17.1.2 Any monies paid to a Provider or any other for services which the individual has not received. It is the Suitable Person's responsibility to recover any monies paid to the Provider or any other person for services which the Individual has not yet received.

17.1.3 Any direct payments monies which have not been used to meet the Individual's care and support needs.

- 17.2** The Council can give written notice to end this agreement with immediate effect if:

17.2.1 The Suitable Person breaches any of the conditions of this agreement and/or fails to carry out any action reasonably requested by the Council.

17.2.2 A Council Officer has reasonable grounds to believe the Suitable Person is misusing the Direct Payments or not administering them in the Individual's best interest.

17.2.3 The Suitable Person becomes bankrupt or makes a composition or arrangement with your creditors or have a proposal in respect of your company for voluntary arrangement for a composition of debts or scheme or arrangements approved in accordance with the Insolvency Act 1986.

17.2.4 Carmarthenshire County Council determine that the Suitable Person is unable to manage the direct payments.

17.2.5 The individual regains mental capacity to manage the direct payment themselves, either with or without support.

17.2.6 The direct payment is no longer meeting the personal outcomes of the Individual, or the Individual no longer has needs for care and support, or it is not considered in the Individual's best interest to continue with such payments.

17.3 In the event of the Suitable Person's death or the death of the Individual this Agreement will terminate and the Council is entitled to recover from the Suitable Person's estate the total of any money including accrued interest, in the Direct Payment bank Account after all outstanding invoices for services provided under this Agreement have been paid.

18. Complaints

18.1 If the Suitable Person is dissatisfied about anything connected with the Direct Payments scheme the Suitable Person is entitled to use the Council's Complaints procedure.

**Signed for and on behalf of the
Council**

**Signed by the Suitable Person on behalf
of the Individual**

Signature:

Signature:

Name:

Name:

Title:

Date:

Date:

Direct Payments

CONFIRMATION OF RECRUITMENT

Personal Assistant's Name: _____

Suitable Person's Name: _____

Address _____

I confirm that I have now successfully recruited carers who will be starting work on _____.

I should therefore be grateful if you could commence paying four-weekly Direct Payments into my account the details of which are as follows:

CONFIRMATION OF BANK DETAILS

Bank: _____

Address: _____

Account Details : _____

Sort Code: _____

Account Number: _____

Signed: _____

Date: _____

Please return form to: Carmarthenshire County Council. Communities Directorate, Business Support Section, 3 Spilman Street, Carmarthen SA31 1LE

RFA/DP10

Appendix 3 – Direct Payments Income and Expenditure**DIRECT PAYMENTS INCOME & EXPENDITURE RECORDS**

NAME

MONTH

20

Reference No.

Balance brought forward from previous month

(BOX A)

INCOME

<i>Date</i>	<i>Description</i>	<i>BACS</i>	<i>Cash</i>	<i>Cheque/ Internet</i>	Banked <i>Total Amount</i>
Monthly Income Totals					
Total Monthly Income					

(Box B)

EXPENDITURE

<i>Date</i>	<i>Description</i>	<i>PA Hours</i>	<i>Cash</i>	<i>Cheque/ Internet</i>	<i>Other</i>	<i>Ref.</i>
Monthly Expenditure Totals		hrs				
Total Monthly Expenditure						

(Box C)

A + B – C = Balance carried forward to next month:

I confirm that to the best of my knowledge the above is a true and accurate record.

Signed:

Date:

Appendix 4 – Support Scheme

What direct payments support does Diverse Cymru provide?

The Diverse Cymru Direct Payments team provides a free service to recipients of direct payments in Cardiff to support them with their responsibilities. The support service we provide includes:

- Advertising posts for Personal Assistants on our direct payments site and assisting throughout the recruitment process
- Advice on employment law and employers' responsibilities
- Training on record keeping: timesheets, invoices etc.
- A 4 weekly payroll service for people employing Personal Assistants
- Advice on setting up a direct payment Bank Account
- Providing the option of a Managed Bank Account, where Diverse Cymru can manage payments on our service users' behalf
- Carrying out Disclosure and Barring Service checks on new Personal Assistants
- Ongoing support and advice whilst receiving direct payments

Where can Diverse Cymru support you?

- Cardiff
- Carmarthenshire
- Ceredigion
- Pembrokeshire

Who to contact

Cardiff

For general enquiries please call **029 2036 8888** – option 1
or email **directpayments@diverse.cymru**

West Wales

For general enquiries please email **westwalesdp@diverse.cymru**
Or contact:

Ceredigion

Sally Grenfell
sally.grenfell@diverse.cymru
0785 222 9468

Carmarthenshire

Sioned Jones
sioned.jones@diverse.cymru
07852 229413 ext. 516

Pembrokeshire

Mai Jennings
mai.jennings@diverse.cymru
0785 222 9440

Regional Direct Payments Support Services Manager

Laura Armytage
laura.armytage@diverse.cymru

For further information on direct payments, your eligibility and the support we provide please visit our dedicated site:

directpaymentscymru.org.uk

Appendix 5 – Local DBS Check Procedure

The following sets out Carmarthenshire County Council's requirements as to when a DBS check is required.

Disclosure and Barring Scheme

Requirements for Direct Payments in Carmarthenshire

Age of Direct Payment Recipient	Direct Payment Type or Situation	Personal Assistant	Suitable Person (where the person is not a relative of the direct payment recipient or is not a friend involved in the provision of their care)	Suitable Person (where the person is a relative of the direct payment recipient or is a friend involved in the provision of their care)	Parent/Guardian (or anyone in a 'family relationship or personal relationship' to the direct payment recipient) who will receive the direct payment on behalf of the individual
0-18	Individual under 18 years of age awarded a direct payment	Mandatory	Not applicable	Not applicable	Not required
18+	If individual has capacity and there is a person under 18 years of age present in the household where the personal assistant will work	Mandatory	Not Applicable	Not Applicable	Not Applicable
18 +	Individual has capacity and there are no children in the household	Mandatory	Not Applicable	Not Applicable	Not Applicable
18+	Individual does not have capacity to give informed consent to receiving direct payments	Mandatory	Mandatory	Not Required	Not Applicable

18+	Individual has a Deputy appointed through the Court of Protection and the person will act as the suitable person	Mandatory	Mandatory	Not required	Not Applicable
18+	Individual has been appointed Lasting Power of Attorney or appointed Enduring Power of Attorney who will act as the suitable person	Mandatory	Mandatory	Not Required	Not Applicable
When a DBS exists for a Suitable Person or a Personal Assistant because they are working with another individual then the rules above still need to be applied as though no DBS exists. However if the person with an existing DBS check has applied to the Disclosure and Barring Update service and is applying for a similar job then this service can be accessed free of charge with the consent of the person to see if the DBS certificate is current and up to date.					

A DBS check involves the employee completing the DBS application form provided by the support service and bringing the necessary identification documents with them to the support service office (see below), where the check will be completed by a member of the support service staff team.

Three original forms of identification are required.

Form of Evidence	Example of Evidence
Date of Birth	<ul style="list-style-type: none"> Valid Passport or Biometric Residence Permit (UK) Birth Certificate (UK and Channel Islands) – issued at the time of birth.
Current Address	<ul style="list-style-type: none"> A Current Letter or Bill confirming your current address.
Photo I.D.	<ul style="list-style-type: none"> Valid Passport or Biometric Residence Permit (UK) Driving License Photo card (or paper counterpart as Group 2 option if issued before 1988)

A full list of allowable documents is included in the pack listing alternatives should they not have any of the above.

The support service, Diverse Cymru, can be contacted at the Carmarthen Office on 01267 245579 and an appointment made via Jane Williams.

Diverse Cymru are located at CAVS, 18 Queen Street, Carmarthen SA31 1JT.

Carmarthenshire County Council will cover the cost of the first DBS check and subsequent renewals. If an employee opts to utilise the update service, the cost associated is theirs to pay.

DBS Update Service

Personal Assistants can chose to have their DBS Certificate kept up-to-date and transportable from role to role for an annual subscription currently set at £13.

By subscribing to the update service personal assistants could save time and money, particularly if they are employed by more than one direct payment recipient. Accessing the service can be done online at www.gov.uk/dbs-update-service.

The subscription process is quick and simple with basic details required; name, gender, date of birth, email address and application form reference number or DBS certificate number.

Appendix 6 – Cross Border Protocol

Purpose of Protocol

This protocol is designed to assist the continuation of support to users of Direct Payments when they re-locate across the borders between the Local Authorities of Carmarthenshire, Ceredigion and Pembrokeshire. This protocol reflects paragraph 109 of the Part 4 Code of Practice to the Social Services and Well-being (Wales) Act 2014.

Desired Outcomes

- That Direct Payments users receive continuity of service when moving across Local Authority boundaries.
- That disputes between participating Local Authorities concerning the continuation of Direct Payments in such circumstances are avoided.

Agreement

- The originating authority will not continue the existing Direct Payments once the individual moves across Local Authority Boundaries.
- When an individual informs the originating authority that they intend to move to the receiving authority the originating authority will contact the receiving the authority and share the individuals assessment and care and support plan. Wherever possible it is expected that the receiving authority will assess the individual prior to the move, provided that the receiving authority is satisfied that there is a realistic prospect that such a move will occur. If on the day the person moves no such assessment has been undertaken by the receiving authority then the receiving authority must meet the individual's needs based on the receiving authority's assessment and care and support plan until such time as the receiving authority has an opportunity to assess the individual.

Appendix 7 – Auto Enrolment Pensions

Pensions - Automatic Enrolment Fact Sheet

Dear Direct Payment Employer

Welcome to your auto enrolment fact sheet, attached with this document is:

- The Essential guide to auto enrolment for personal assistants
- Employer set up guide with NEST pensions

Due to new legislation, all staff must be supported to save for their retirement. This process is called Automatic Enrolment.

Automatic Enrolment is only compulsory if:

- your Personal Assistant earns more than £192 per week,
- is over 22 years or over
- and has not yet reached State Pension age.

Even though this may not apply to your Personal Assistant, you still need to register with the Pensions Regulator.

There are many pension providers available, the government has set one up to help people with Automatic Enrolment – it is called NEST Pensions, and is a free service. We have attached a step by step NEST set up guide for you

You can find more information about NEST and other pension providers at: **www.thepensionsregulator.gov.uk**

If your Personal Assistant does not meet the criteria for Automatic Enrolment, they can ask to join the scheme which is called opting in. You can nominate Diverse Cymru as a secondary contact so that we can administrate the payroll pension facility for Auto Enrolment, carry out an eligible job holder assessment, forward on enrolment notification letters, we will produce a payslip reflecting any pension deductions, and support with your declaration of compliance; it must be stressed however that Diverse Cymru are not Pension consultants and it is your

sole obligation to meet the legislative requirements of the Auto Enrolment.

Please contact your ILA or email the **payrolloffice@diverse.cymru** if you have any further questions regarding Auto Enrolment

In order to help Diverse; Cymru support you with Automatic Enrolment, please tick the following statement.

☐ I would like Diverse Cymru to act as my secondary contact and to provide support with the administration payroll pension facility within Automatic Enrolment.

Signed: _____

Please print name: _____

Date: _____

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EXECUTIVE BOARD

22ND OCTOBER 2018

INFORMATION SECURITY POLICY		
Purpose: The current information security policy has been reviewed and updated to ensure we have a robust policy in place to protect the Council’s information.		
Recommendations / key decisions required: To approve recommendations contained within report.		
Reasons: The current policy was due for a review and has been updated to ensure compliance with current legislation (GDPR) and best practices.		
Relevant scrutiny committee to be consulted – Policy & Resources Scrutiny Committee – 11 October 2018		
Exec Board Decision Required	Yes	
Council Decision Required	No	
EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr Mair Stephens		
Directorate: Chief Executives Name of Head of Service: Noelwyn Daniel Report Author: John M Williams	Designations: Head of ICT ICT Operational Delivery Manager	Tel Nos. 01267 246270 Email Address: NDaniel@sirgar.gov.uk 01267 246311 E Mail Addresses: jmwilliams@sirgar.gov.uk

EXECUTIVE SUMMARY

EXECUTIVE BOARD 22ND OCTOBER 2018

INFORMATION SECURITY POLICY

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

Prior to this revision, the Authority also had in place an Access Control Policy and a Copyright Designs and Patents Act Policy. The key elements of both these policies have been incorporated into this revised Information Security policy.

The Information Security Policy is in place to enable information to be shared whilst ensuring the protection of information and hardware assets.

This policy has three main objectives which are:

- The Council's information assets and ICT equipment are adequately protected against any action that could have an adverse effect on the security of information.
- That all information assets must be "owned" by a named officer within the authority. The Council defines all Heads of Service as **Information Asset Owners**.
- That staff and elected members are aware and comply with all relevant legislation and council policies related to how they conduct their day-to-day duties in relation to ICT.

This policy provides clearly defined roles and responsibilities expected of staff members, line managers and Heads of Service with regards to information security, and the role ICT Services play in assisting with this.

Section 5 of this policy addresses the key areas of Access Control. This provides guidance to information asset owners on their roles and responsibilities as Information Asset Owners on restricting access to information based on job functions. Information must only be accessed by users to undertake their job role or specific tasks assigned to them, and intentional access to an information asset outside of these situations is considered a breach of this policy.

This policy provides clarity on the purchase or development of new information systems and that these should only be acquired with explicit consent from ICT Services to ensure all new systems are safe, secure and comply with this policy.

It is recommended that this policy be published to all staff and elected members via meta compliance to ensure they read and fully understand the policy.

DETAILED REPORT ATTACHED?

Yes – policy attached.

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Noelwyn Daniel

Head of ICT

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	YES	NONE	YES	YES	YES	NONE

Legal

This policy ensured compliance with the following legislations and regulations:

General Data Protection Regulation, the Data Protection Act 2018, the Computer Misuse Act 1990, the Freedom of Information Act 2000 and the Copyright, Designs and Patents Act

ICT

ICT Services will need to ensure that technology is kept in place and up-to-date to provide compliance with this policy

Risk Management Issues

Compliance with this policy will reduce the risk of an information asset being misused.

Staff implications

This policy will affect all staff and elected members and they will need to be made aware of the policy and accept that they understand it.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Noelwyn Daniel

Head of ICT

1. **Scrutiny Committee** - Policy & Resources Scrutiny Committee - 11th October 2018.
2. **Local Member(s)** - None
3. **Community / Town Council** – None
4. **Relevant Partners** - None
5. **Staff Side Representatives and other Organisations** - None

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THERE ARE NONE

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Carmarthenshire County Council

Information Security Policy

Contents

1. Introduction
2. Scope
3. Policy Statements
4. Responsibilities
5. Access Control
6. Physical and environmental security
7. Operational security controls
8. Compliance measurement
9. Sponsor
10. Custodian
11. Ensuring Equality of Treatment

1. Introduction

1.1 Information security management enables information to be shared, whilst ensuring the protection of information and hardware assets. It has three basic components:

- **Confidentiality:** protecting sensitive information from unauthorised disclosure or interception
- **Integrity:** safeguarding the accuracy of information
- **Availability:** ensuring that information is available to members, employees, outside bodies and the general public when required

1.2 The main objectives of the policy are to ensure:

- The Council's information assets and ICT equipment are adequately protected against any action that could have an adverse effect on the security of information.
- That all information assets must be "owned" by a named officer within the authority. The Council defines all Heads of Service as **Information Asset Owners**.
- That staff and elected members are aware and comply with all relevant legislation and council policies related to how they conduct their day-to-day duties in relation to ICT.

2. Scope

2.1 This policy is applicable to all information assets held by Carmarthenshire County Council. An information asset is defined as:

"an electronic or non-electronic asset owned or entrusted to the Council (by internal and external customers) and includes, but is not limited to, all hard copy documentation and electronic data held in our systems and databases."

2.2 This policy applies to:

- All employees and elected members of the Council
- All employees and agents of other organisations who directly or indirectly support or use the Council's network
- All temporary staff directly or indirectly employed by the Council

- All persons carrying out work on behalf of the Council on a voluntary basis
- All users having access to systems, networks and ICT resources owned by the Council

3. Policy Statements

3.1 The Council will implement controls and practices to support the core concepts of Confidentiality, Integrity and Availability in order to prevent the loss or corruption of information assets and to reduce the risk of information being unavailable to the end-user.

3.1 The Council's information assets will be used in accordance with:

- This Information Security Policy
- Handling Personal Information Policy and Procedure
- Breach Reporting and Response Policy
- Email Usage and Monitoring Policy
- Internet Usage and Monitoring Policy
- Relevant legislation – including but not limited to the General Data Protection Regulation, the Data Protection Act 2018, the Computer Misuse Act 1990, the Freedom of Information Act 2000 and the Copyright, Designs and Patents Act

3.2 Any breaches of this policy may lead to disciplinary action being taken against those who fail to comply.

3.3 This policy is approved by, and has the full support of, the Council.

4. Responsibilities

4.1 Each member of staff is responsible for:

- Assisting in the protection of the Council's systems and equipment by complying with the security requirements contained in this document.
- Using all of the appropriate security measures and safeguards to protect application systems and data files, and making sure that personal or otherwise confidential information, whether electronic or paper based, is protected from theft, unauthorised disclosure/use, accidental loss and destruction.
- Not attempting to subvert or bypass any installed security mechanisms. This includes not sharing passwords; under no circumstances should users ever disclose their passwords to anyone or allow another user to share their credentials in order to overcome access controls.

- Following the Council's **Breach Reporting and Response Policy** when a suspected personal data breach occurs.
- On suspecting the presence of unauthorised use of Council equipment, a computer virus or cyber-attack, bringing the issue to the attention of the IT Helpdesk without delay.
- Ensuring that all Council data is stored on the council file plan or business system and not on the hard disk drive of the computer.
- Ensuring that portable devices and removable media are encrypted and are only used in exceptional circumstances and in accordance with the **Portable Device Usage Policy** and **Handling Personal Information Policy**.
- Ensuring that only authorised software runs on Council systems.
- Using only authorised devices on the Council's corporate network.
- ICT equipment must only be disposed of in a secure manner arranged by ICT Services.
- Ensuring that the Council's email system is used in accordance with the **Email Usage and Monitoring Policy**.
- Ensuring that any access to the internet is in accordance with the **Council's Internet Usage and Monitoring Policy**.
- Ensuring that personal data is dealt with in accordance with the Council's **Handling Personal Information Policy and Procedure**.
- Ensuring that they are aware of and understand all Information Governance Policies and associated guidance.

4.2 Line Managers are responsible for:

- Ensuring that their employees are aware of and observe all of the security requirements of the ICT equipment, facilities and data.
- Ensuring that their employees are aware of and observe all legal requirements concerning the use of proprietary software, e.g. respecting copyright and site licenses.
- Ensuring that employees for whom they have responsibility receive appropriate security awareness training, including material for legal requirements such as the General Data Protection Regulation (GDPR). Each line manager shall arrange training for each new employee and periodic training for all their personnel, to respond to changing procedures and legislation.
- Ensuring that on leaving the authority or transferring to another section, employees' access rights are reviewed and revoked when appropriate, and ICT equipment is returned

4.3 Heads of Service, as Information Asset Owners, are responsible for:

- The overall information security within their service area.

- Providing management support and resources for carrying out the requirements of this policy.
- Ensuring that all major applications systems and resources are identified and that a “System Owner” is appointed for each major application system.
- Ensuring compliance with all legal requirements concerning the use of commercial proprietary software e.g. respect of copyright and site licensing.
- Addressing security at the recruitment stage, ensuring that security requirements are included in job descriptions and employment contracts.
- Ensuring that potential recruits are adequately screened, especially for posts in sensitive areas such as social care.
- Ensuring that employees and third parties are aware that information is owned by the Council and should be treated as confidential, as unauthorised disclosure may result in disciplinary procedures or, in the case of third parties, a termination of contracts or association.
- Ensuring that users are provided with written authorisation describing their access rights and restrictions. For example, to permit access to an otherwise unpermitted resource of information.
- Providing resources and advice to ICT Services when responding to a personal data breach or security incident.
- Establishing business continuity plans to protect critical business processes from the effects of major failures or disasters. Procedures will be established to develop and maintain appropriate plans for the speedy restoration of critical business processes and services in the event of serious business interruptions.
- Business continuity planning to include measures to identify and reduce risks, limit the consequences should a breach be realised, and ensure speedy resumption of essential operations.
- Work with ICT Services to establish Business Continuity working zones where required by the service.
- Ensuring that procedures are in place to ensure continuity of services throughout the recovery period.
- All security issues including access permissions and security of manual information.
- Ensuring System Owners keep a register of system users to enable accurate access rights management.
- Ensuring that all system changes are formally documented through a change control procedure and reviewed to ensure that they do not compromise the security of either the system or the operating environment.

4.4 ICT Services are responsible for:

- Maintaining a schedule of all core servers, backup strategies and officers for effecting backup.

- Overseeing and coordinating cross-platform issues regarding computer security.
- Assisting system owners prior to award to any outside contractor, that their contract depends on compliance with all applicable security measures.
- Establishing procedures for the management of incidents of system and network intrusion and malicious software threats.
- Ensuring the security of all computers, including servers which support a system and its data and end user devices.
- Developing and maintaining contingency plans to include designated personnel to be responsible for effecting backup and recovery operations.
- Ensuring that ICT Services staff receive appropriate security awareness training.
- In collaboration with line managers, establishing and communicating the security safeguards required for protecting their application systems. This responsibility includes safeguards for hardware, software, communications and personnel.
- Identifying security requirements at the design stage of a system implementation. Appropriate security controls, including audit trails and fallback processing, will be designed into application systems. Additional countermeasures may be required for systems that process, or have an impact on sensitive, valuable or critical data.
- Evaluating security products and recommending solutions to multilevel security problems.
- Ensure a resilient and robust cyber-security strategy is in place
- Keep a record of network activity and access logs for use in investigating a breach or security incident for a period of 6 months
- Being aware of current security status of major systems and potential problems that may arise. This will include the commissioning of security certification tests, penetration tests and internal security audits.
- Awareness of and research into the value of new technological developments.

4.5 The Digital Security Officer:

Will oversee the implementation and monitoring of all IT security controls and also advise on the development of future strategies.

4.6 Human Resources

Security must be addressed at the recruitment stage and included in job descriptions, contracts and all induction courses. Job descriptions should define security responsibilities as laid down in the Council's Information Security Policy. This should include any general responsibilities for implementing or maintaining

the Council's Information Security Policy, as well as any specific responsibilities for the protection of particular systems or for the execution of security processes.

5. Access Control

5.1 User identification and authentication

Access to information assets must be restricted to authorised users and must be protected by appropriate controls.

These will include, but will not be limited to:

- Physical restrictions to Council buildings such as swipe card entry systems
- Robust authentication process to access the Council's network by validating user identity
- Enforcement of access permissions to electronic data, operating to the principle of least privilege

5.2 User access

Information Asset Owners must ensure that access to information assets are restricted according to the users' specific job function. Access must be based on the minimum privileges required to perform the function.

Users must only access information assets when they need to do so in order to fulfil their job role or specific task assigned to them. Intentional access to information assets outside of these situations is considered as being unauthorised and without the consent of the Council.

Unauthorised access to information is a breach of this policy and may result in disciplinary action being taken.

This may also constitute a breach of the General Data Protection Regulation and Computer Misuse Act 1990, and be reportable to the Information Commissioner and result in criminal prosecution of the user concerned.

5.3 Password management

All passwords used to access information assets must be kept confidential and be changed at regular intervals as per the password guidance below:

<http://intranet/our-people/it-support/manage-your-password/>.

5.4 Access termination, modification or revocation

Any changes to an individual's job function that affect their requirements for access to information must be noted by their line managers and reported to [ICT Services](#) immediately.

Users also have a responsibility to notify ICT Services and their line manager of any known conflict of interest that may arise, which would affect their job role and access to information.

Where staff leave the employment of the Council, including where employees are suspended, the Human Resources team will without undue delay ensure that the Council's ICT Services are notified to ensure that access permissions are terminated.

Line Managers are responsible for ensuring that system administrators of systems (e.g. Ohms, CareFirst etc) are notified to remove terminated/suspended access accounts.

5.5 Third Party Access

All third party access (contractors, business partners, consultants, vendors, customers) must be appropriately authorised and monitored. Third party access to information assets will be granted in increments of 6 months or less. In cases where access is needed for longer periods, the business owners must specify access timeframes and justification for such access.

5.6 Data Processors

Access by any third party to personal data to be processed on behalf of the Council will only take place after sufficient guarantees that the requirements of the General Data Protection Regulation are to be met and the rights of data subjects protected. The Processors must only act on the documented instructions of the Council, under a binding written contract (Data Processing Agreement). Service delivery by third parties must include agreed security arrangements, service definitions and service delivery agreements.

5.7 System monitoring

Access to and use of critical systems will be logged to detect non-compliance with the access control measures defined in this policy , and to record evidence in case of breaches/security incidents.

Records must be reviewed on a regular basis.

5.8 Audits

Periodic audits are to be performed within the Council to validate the levels of access and to ensure compliance.

6. Physical and environmental security

6.1 Secure areas

Any media, including ICT equipment, supporting sensitive information (e.g. personal information) must be based in secure areas. Physical protection from unauthorised access, damage and interference must exist (e.g. locked doors). These will be sited in secure areas, protected by a defined security perimeter, with appropriate entry controls and security barriers (e.g. partition for desks/walls, card control entry, etc.).

6.2 Clear screen and clear desk

To ensure the security of information, desk and offices must be cleared of sensitive information (for example, personal information). Personal computer screens must also be clear of information when desk and offices are left unattended and should. Users should not leave themselves logged in to ICT equipment if it is left unattended.

7. Operational Security Controls

7.1 Documented operating procedures

To ensure the correct and secure operation of information processing facilities, procedures will be prepared for system activities such as, but not limited to, start up and shutdown, backups, recovery and maintenance.

7.2 ICT Equipment Asset Management

ICT Services keeps documentary evidence of all computer equipment and software. These records must be maintained for accuracy.

- Each inventory item must clearly identify each ICT asset by an identity tag detailing its unique asset number
- ICT equipment and software can only be purchased through ICT Services
- No equipment should be installed on the Council's network without prior consent of ICT Services
- All disposals of equipment must be done through ICT Services and recorded.

7.3 Change management

ICT Services will follow documented change control procedures to enable the identification and recording of significant changes. The procedure must consider planning and testing of changes, assessment of potential impacts, a formal approval procedure for proposed changes, communication of change details to relevant parties and back-out procedures.

7.4 Segregation of duties

Wherever practical and possible duties should be segregated. For example, the initiation of an event should be separated from its authorisation.

7.5 System planning and acceptance

To minimise the risk of system failures, controls will be implemented for capacity management and system acceptance.

7.6 Protection against malicious and mobile code

To protect against damage from malicious and mobile code such as computer viruses, the authority will implement systems and controls to prevent the execution of unauthorised code on systems. These controls include, but are not limited to, removal of administrative rights, endpoint anti-virus, email and internet filtering and Intrusion Prevention/Detection Systems at our internet gateway

7.7 Backup

Backups of critical data will be taken, recorded and tested to ensure that all essential information and software can be recovered following a disaster or media failure.

7.8 Network security management

IT Services will implement controls to ensure the security of information in networks and the protection of connected services from unauthorised access.

To ensure the secure installation, maintenance and use of WiFi access and, where there is a business need, approved Wireless networking equipment will be installed by ICT Services or approved third parties.

Wireless access to the corporate network will be restricted to corporate devices and require authentication.

Wireless networking equipment and management interfaces must be adequately secured to prevent unauthorised access.

Regular audits of wireless networks will be undertaken and any unauthorised access points will be removed.

7.9 Information systems acquisition, development and maintenance

Information Systems should not be acquired without the explicit consent from ICT Services to ensure that systems are safe, secure and compatible with our ICT Infrastructure. This includes operating systems, infrastructure, business applications, off-the-shelf products, services and user-developed applications that support the business process. Security requirements should be identified and agreed prior to the development and/or implementation of information systems.

8. Compliance measurement

Compliance with this Information Security Policy is mandatory

9. Sponsor

This Policy is owned by the Corporate Information Governance Group

10. Custodian

It is the responsibility of the Digital Security Officer to ensure that the policy is regularly reviewed and updated.

11. Ensuring equality of treatment

This policy must be applied consistently to all irrespective of race, colour, nationality, ethnic or national origins, language, disability, religion, age, gender, gender reassignment, sexual orientation and parental or marital status.

Policy approved by Executive Board:	
Policy written:	12 th July 2018
Policy review:	12 th July 2020
Policy written by:	Richard R Williams & John M Williams (CISMP)

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EXECUTIVE BOARD

22ND OCTOBER 2018

CORONER PAY ARRANGEMENTS

Purpose:

This report sets out details of a new national pay framework and guidance for Coroners issued by the Joint Negotiating Committee for Coroners (the JNC). The report also asks that Members agree to adopt the framework set in determining the salary level for both the Coroner and Assistant Coroner and to agree to the date set for the backdating of the Coroner's salary.

Recommendations / key decisions required:

- a) To agree that the salary of the Coroner be set at £98,320 gross (£128,995 p.a. – inclusive of on-costs) with Pembrokeshire contributing 50% of the salary.
- b) To agree to the date set for the back dating of the Coroner's salary to November 2017
- c) To agree to the Assistant Coroner being paid the set fee of £10,500 p.a. (50% contribution being £5250 + on-costs £1,600). Work in addition to cover for the part-time element of the Coroner (equates to 7 weeks p.a.) to be invoiced at a daily rate of £375 pro rata.

Reasons:

Due to a wide ranging disparity of coronial pay nationally, the JNC agreed to undertake a job evaluation exercise to assess the roles set out in the Coroners and Justice Act 2009. That exercise has created a new model role profile with appropriate guidance and it is now a matter for individual local authorities and coroners to determine on a local evidential basis the appropriate level of pay within the ranges. This report now sets out details of the new national pay framework and guidance for Coroners issued by the Joint Negotiating Committee for Coroners (the JNC). The report also ask that Members agree to adopt the framework set in determining the salary level for both the Coroner and Assistant Coroner and to agree to the date set for the backdating of the Coroner's salary.

The additional salary can be summarised here:

- Current annual salary inc NI and Sup for Carmarthenshire is £32,160
- Proposed salary inc NI and Sup is £64,097.

In light of the JNC findings, a growth bid was agreed for the Coroners of £100k in 2017-18 in order to accrue the likely payment to the Coroner.

Relevant scrutiny committee to be consulted NO

Exec Board Decision Required YES

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:-

Councillor David Jenkins - Resources

Directorate

Wendy Walters

Report Author:

Amanda Bebb

Designations:

Director of Regeneration and
Policy

Electoral Services Manager

TEL NOs

01267 224112

01267 228750

E Mail Addresses:

WSWalters@carmarthenshire.gov.uk

Abebb@carmarthenshire.gov.uk

EXECUTIVE BOARD

22ND OCTOBER 2018

CORONER PAY ARRANGEMENTS

In January 2018 the Joint Negotiation Committee for Coroners (JNC) set out guidance outlining the expected national pay rates for Coroners and Assistant Coroners. In applying the guidance and in negotiation with the Coroner a proposed day rate of £440.00 has been determined. This day rate has been calculated based on the level of complexity of caseload in the county of both Pembrokeshire and Carmarthenshire and the national pay rates set out by the JNC in January 2018 (JNC-Coroners' Circular No 61 & 62, attached at Annex 1 & 2 respectively). The current post of Coroner is part-time, with a total of working days set at 178 days per annum.

The guidance provided by the JNC is intended to provide assistance to local authorities on the factors to be taken into consideration in order to arrive at a balanced over-arching picture of a Coroner area's complexity. Colleagues of both Carmarthenshire and Pembrokeshire have met a number of times to discuss the level of pay that should be set for both the Coroner and Assistant Coroner for the jurisdiction of Pembrokeshire and Carmarthenshire and have agreed the following:

1. Using the agreed day rate of £440 @ 178 days per year + the 20K fixed fee to cover the out of hours service availability at all times, the fee to the Coroner should be £98,320 per annum.
2. Using the agreed day rate of £375 @ 7 weeks per year (at 4 days a week), the fee to the Assistant Coroner should be £10,500 per annum. Work additional to the 7 weeks must be time recorded, to be paid on the daily rate of £375 pro-rata.
3. Should Pembrokeshire and Carmarthenshire decide not to adopt the new framework, and/or the Coroner does not agree with any proposed salary level, Coroners have the option to refer their salary discussion to the Lord Chancellor for consideration. Further advice from the NJC has been sought regarding this who confirmed that the Ministry of Justice's intention is that the new framework will see a single coherent pay structure for Coroners. As such their view is that any appeals to the Lord Chancellor are likely to result in a decision that pay should be determined in line with the JNC agreement.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Wendy Walters

Director of Regeneration and Policy

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	YES	YES	NONE	YES	YES	NONE

2. Legal

There are no realistic alternative options. The national pay rates and formula for applying those rates are clear. Failing to address the disparity between existing local pay rates and the established national pay rates could invite plausible legal challenge.

3. Finance

In anticipation of the new coroners pay rates being adopted, a growth bid was approved and permanently validated into the Coroners budget to cover the additional cost. As a result the existing budget provision will cover the increase.

4. Risk Management Issues

Should both Pembrokeshire and Carmarthenshire decide not to adopt the new framework, and the Coroner does not agree with any proposed salary level, Coroners have the option to refer their salary discussion to the Lord Chancellor. Further advice from the NJC has been sought regarding this who confirmed that the Ministry of Justice's intention is that the new framework will see a single coherent pay structure for Coroners. As such their view is that any appeals to the Lord Chancellor are likely to result in a decision that pay should be determined in line with the JNC agreement.

7. Staffing Implications

The recommendations come from the JNC for Coroners which is an agreed body which makes recommendations to relevant Councils on pay for Senior Coroners. The review it undertook used the Hay Job evaluation scheme which is a nationally recognised scheme.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Wendy Walters

Director of Regeneration and Policy

- 1. Scrutiny Committee – Not Applicable**
- 2. Local Member(s) – Not Applicable**
- 3. Community / Town Council – Not Applicable**
- 4. Relevant Partners - Pembrokeshire County Council**
- 5. Staff Side Representatives and other Organisations – Not Applicable**

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
JNC 61		Annex 1
JNC 62		Annex 2

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Coroners Pay Arrangments

Background Information:

Coroners in England and Wales are independent judicial officials who investigate the causes of death reported to them, thereby allowing these deaths to be registered. Although all Coroners are appointed and funded by local authorities, the Coroner is not a Local Government Officer, but holds office under the Crown.

It must be noted that although discussions now need to take place around the salary of the Coroner, many of the costs of the service are outside the Council's control because the majority result from decisions taken by the Coroner on the basis of his professional judgement. These costs include post mortems, laboratory fees, fees for expert witnesses, support for the bereaved and the level of public interest in some inquests. However despite the reactive nature of this service, both Pembrokeshire and Carmarthenshire look for opportunities to achieve economies of scale, particularly in respect of staffing and office costs.

The Coroners and Justice Act 2009 (Alteration of Coroner areas) Order 2013 formally amalgamated Pembrokeshire and Carmarthenshire. Pembrokeshire is the effective lead authority.

An Authority remains responsible for all Coroner appointments, and in turn the Coroner is entitled to a salary and pension.

Current Position:

Mr Mark Layton was appointed as a part time Coroner for Pembrokeshire on 1/1/2010, on 1/11/2011 the role was extended to cover Carmarthenshire and agreement was reached between the then Chief Executives that he be paid £45,000 pa as follows:

- Pembrokeshire caseload (600 deaths pa) £21,000 (21/45)
- Carmarthenshire caseload (760 deaths pa) £24,000 (24/45)
- Deputy Salary was set at 9% of coroner's salary
- Admin costs were set at £20,000 - Carmarthenshire £10,666 and Pembrokeshire £9,334 pa.

In addition to the pay structure as above, the Coroner also gets additional long inquest payments that forms part of his salary.

Further to paragraph 3 of Schedule 2 of the Coroners and Justice Act 2009, Coroners in post at the time this Act was brought into force became Senior Coroners. Therefore the incumbent Coroner, Mr Mark Layton is a Senior Coroner for Pembrokeshire and Carmarthenshire.

The salary of a Coroner up to now must be commensurate with national guidelines and the recommended salary set at a relevant point for the population of Carmarthenshire (the population bands and respective salaries were set out in the

Local Government Association's Coroner's Circular number 51) However it was always the desire of the Chief Coroner to move towards a standardized set of terms and conditions

From the perspective of those in post, the pay of Coroners has been an issue for some time. It has previously been negotiated at national level through the Joint Negotiating Committee for Coroners, which broke down. Fresh talks between the two sides started again in Autumn 2016, culminating in a decision to explore application of the Hay job evaluation. That exercise has created new model job profiles and has been able to take account of criteria relevant to both local authority and judicial contexts. Having considered the outcome of the technical evaluation exercise and looked at a wide range of potential pay benchmark data, the two sides have reached agreement on an approach.

In relation to part time senior Coroners the guidance set to assist local decision making in determining pay within an appropriate range is:

- a base salary of £20,000 and then a daily rate range of £440 to £500 with earning capped at the level of a full-time senior coroner in a similarly complex area. The 5.5% pension allowance provision would fall as would the abolition of long inquest payments. Legislation requires that all senior coroners are salaried which precludes falling back solely on a day rate for part-timers. A fixed salary will also cover the need for coroners to be available at all times even given they are notionally part-time. The proposed range of day rates is based on removing the suggested level of £20,000 from the senior coroner range and then dividing by 220 to achieve a range of daily rates which is transparent and equitable. The salary includes statutory out of hours work as set out in legislative provisions.

For Assistant Coroners:

- daily rate from £375 to £454 with a ceiling/floor mid-point for less complex / highly complex areas. This approach takes account of the 2 levels within the single role that Korn Ferry Hay identified in its job evaluation exercise. The 5.5% pension allowance would not be sought in addition should access to the LGPS be provided to Assistant Coroners.

Way Forward:

Remuneration is now a matter of agreement and to be resolved by Pembrokeshire and Carmarthenshire Councils. The Coroner wrote to both Authorities in January 2018 in which he accepts his jurisdiction is not of particular complexity and is therefore content to accept the lower figure of £440.00 per day as the appropriate rate.

The number of reported deaths for 2017 resulted in 656 reported from Pembrokeshire and 863 reported deaths for Carmarthenshire. Mr Layton currently works on the basis of 2 days per week on Carmarthenshire deaths and up to 2 days on Pembrokeshire deaths. In addition to the hours dedicated to each Council area, Mr Layton spends up to 33 days a year with ancillary obligations and responsibilities such as compulsory training, police officer training and mass fatality work.

Colleagues from Pembrokeshire and Carmarthenshire have met a number of times to discuss the Coroner's salary and have agreed in principle to the new salary as listed below. It was also agreed that this salary would be paid 50:50 by each authority. Listed below is the current salary implication for Carmarthenshire, the total new proposed salary with implication for Carmarthenshire:

Current Salary Calculation for Carmarthenshire:

Basic Salary	2000.00	per month	
5.5% superannuation	110.00	per month	
	2110.00	per month	
National Insurance at 13.8%	276.00	per month	
ER's at 17.7%	354.00	per month	
	32880.00	per annum	does not include long inquests

Proposed Salary Calculation in total:

Base salary	20000.00	per annum
178 days at £440/day	78320.00	per annum
Total including NI and ER's	128,227.00	
Apprentice levy	492.00	
Carmarthenshire contribution:	64,360.00	Per annum

The proposed salary is based on a 30 hour working week/4 days a week per annum (part-time post), which equates to 178 working days. Annual leave will be 24 days.

This figure is subject to no long inquest payments, superannuation or training days to be paid. The salary will be subject to annual enhancement in line with incremental pay increases relevant to the salary set. The JNCs pay ranges will be next reviewed in September 2018 with a view that any agreed changes would be implemented from 1 April 2019. The post of Coroner is covered by public indemnity insurance.

Question of back pay:

As a consequence of the failure of the JNC process to lead to a pay settlement until now, many Coroners approached their local authorities to consider a re-evaluation of their salary. Mr Layton requested this in writing to Pembrokeshire Council in 2015 but in the light of a pending national review, it was agreed to wait for the national outcome.

As a result of the publication of JNC 62, Mr Layton subsequently wrote to each respective council in January of this year and invited each council to consider backdating this pay award to December 2015 – to the date when he originally requested that his salary was reviewed. In this most recent request he has stated that any sums that he has received for long inquest payments would be naturally deducted

from this back payment plus he would not claim for work that he has undertaken on existing files.

Listed below is the financial implication for backdating to December 15.

Base Variance to			
December 2015	74,520		
Less long inquests paid but no longer valid	25,486	**	Normally pay in year of completion so don't normally accrue
TOTAL DUE IF BACKDATED TO DEC 15	49,033		

Listed below is the financial implication for backdating to Nov 17

Base Variance to November 2017	13,307
Long inquests unpaid	27,020
Total Due if backdated to November 2017	40,328

*If we agree to back date to November 2017, then the Coroner will not waive a claim for work carried out before or after November 2017. There are currently 6 outstanding long inquest cases relevant to Carmarthenshire and it is unknown what further costs could be passed to Carmarthenshire County Council in relation to these cases, this could result in more that £9,000 costs (difference between back pay totals for December 2015 and November 2017). If we backdate to December 2015, then the Coroner will waive all further costs in connection with these long inquests.

Assistant Coroners

The current Assistant is currently paid 9% of the Coroner's salary (i.e. £2,160 for Carmarthenshire). JNC 62 recommends that Assistant Coroners will be paid a daily rate from £375-£454 with a ceiling/floor mid-point for less complex/highly complex areas. It is proposed to increase the Assistant Coroner's salary to the bottom of the range recommended by the JNC 62 to a daily rate of £375. To provide cover for the Coroner in his absence, this would equate to 7 weeks per year (4 days a week). Any additional hours/days worked would have to be time recorded and invoiced subject to the daily rate of £375 pro-rata. This equates to a cost of £10,500 per annum of which £5,250 is the Carmarthenshire element plus oncosts of £1.6k – total for Carmarthenshire of £6.9k (4 days x 7 weeks = 28 days @ £375 plus oncosts).

Management Side Secretary, Simon Pannell
Local Government Association
18 Smith Square,
London, SW1P 3HZ
Telephone 020 7187 7373 Fax 020 7664 3030

Officers' Side Secretary, Jennifer Leeming
HM Coroner Manchester West, Paderborn House,
Civic Centre, Howell Croft North, Bolton, Lancashire BL1
1JW
Telephone 01204 338 799 Fax 01204 387674

JOINT NEGOTIATING COMMITTEE FOR CORONERS

To: Chief Executives (London Boroughs, Metropolitan Districts, County Councils and Unitary Councils in England and Wales) (copy for Treasurer)

2 November 2017

CORONERS' CIRCULAR No 61

Dear Sir/Madam

Coroners' pay

We are writing to update you on our negotiations regarding the pay of coroners.

As you are aware the JNC for Coroners agreed to undertake a job evaluation (JE) exercise to assess the roles set out in the Coroners and Justice Act 2009.

We commissioned Korn Ferry Hay Group to undertake the job evaluation exercise to enable us to develop a grading arrangement based on broader criteria than the population based approach taken in the past. That exercise has created new model job profiles and has been able to take account of criteria relevant to both local authority and judicial contexts. It has also been the first opportunity to consider through the JNC pay recommendations with regard to Area and Assistant Coroners. Having considered the outcome of the technical evaluation exercise and looked at a wide range of potential pay benchmark data, the two sides have reached agreement in principle on an approach, details of which are set out below.

- Senior coroners - a range of £117,000 to £130,000. The salary includes statutory out of hours work as set out in legislative provisions. The current JNC 5.5% salary pension supplement will no longer apply.
- Part-Time senior coroners – a base salary of £20,000 and then a daily rate range of £440 to £500 with earnings capped at the level of a full-time senior coroner in a similarly complex area. The 5.5% pension allowance provision would fall as would the current provision in some authorities of 'county loadings' of at least 10% of salary. This would also see the abolition of long inquest payments. Legislation requires that all senior coroners are salaried which precludes falling back solely on a day rate for part-timers. A fixed salary will also cover the need for coroners to be available at all times even given they are notionally part-time. The proposed range of day rates is based on removing the suggested level of £20,000 from the senior coroner range and then dividing by 220 to achieve a range of daily rates which is transparent and equitable. The

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Management Side Secretary, Simon Pannell
Local Government Association
18 Smith Square,
London, SW1P 3HZ
Telephone 020 7187 7373 Fax 020 7664 3030

**JOINT NEGOTIATING COMMITTEE
FOR CORONERS**

Officers' Side Secretary, Jennifer Leeming
HM Coroner Manchester West, Paderborn House,
Civic Centre, Howell Croft North, Bolton, Lancashire BL1 1JW
Telephone 01204 338 799 Fax 01204 387674

**To: Chief Executives (London Boroughs, Metropolitan Districts, County Councils
and Unitary Councils in England and Wales)**

8 January 2018

CORONERS' CIRCULAR No 62

Dear Sir/Madam

Coroners' pay guidance

This guidance must be read in conjunction with JNC circular No. 61 (copy attached). This sets out the principles of the agreement reached and indicated that the JNC would produce guidance to assist local decision-making in respect of the approach to be taken in determining pay within the appropriate range. That guidance is now set out below.

The level of pay will be determined locally, in line with the complexity of the coroner area. This guidance is intended to provide assistance to councils on how the factors should be interpreted, without directing or being overly prescriptive. It aims to provide those whose responsibility it is to determine and decide on a local evidential basis, the appropriate level of pay. This joint guidance seeks to identify factors to consider in determining the complexity of a coroner's area in order to consider the appropriate pay point at a local level.

In making the assessment of the relevant pay level to be applied locally it should be on the basis that all the duties and responsibilities are being performed at full capability as outlined within the jointly agreed and adopted job descriptions (within the KFH report commissioned by the JNC). Councils are reminded that the pay framework does not cover non-statutory out of hours duties. The KFH report can be found at <https://www.local.gov.uk/our-support/workforce-and-hr-support/coroners>.

The factors should be considered holistically in order to arrive at a balanced overarching picture of an Area's complexity. It is not intended to be a simple numbers exercise.

In considering the factors below the assessment of the relative complexity of a coronial area should be considered in terms of the likelihood of the presence of these factors to require additional coronial intervention beyond that which would be normally expected and cannot be addressed solely through additional Assistant Coroner capacity. Similarly, the absence of such factors should be considered in

terms of a reduction in the likelihood of coronial intervention compared to that normally expected. In practical terms, the difference in the types of an institution present in an area are likely to provide for different demands upon the coronial service (e.g. local prison as compared to an open prison or a large acute hospital compared to a community hospital) and the overall assessment should be on the basis of the coronial area as a whole.

In considering all factors local knowledge/experience/risk will be a feature and should be evidence based. These factors include:

Factor	For consideration
Prisons and other institutions of state detention.	Are there any? Type of institution/s - where more vulnerable people are detained e.g. local prisons, young offenders institutions, female prisons and/or immigration detention centres. Number of institutions.
Mental Health Unit(s)	Are there any? Type of such units i.e. in-patients Number of units.
Hospitals with areas of specialism	Type of such hospitals e.g. tertiary hospital (tertiary characterised by offering specialised consultative care, usually on referral from primary or secondary medical care personnel, by specialists working in a centre that has personnel and facilities for special investigation and treatment.), hospitals with specialist units e.g. neurological, stroke, neo-natal units. Number of such hospitals.
Caseload	Caseload of the respective coroner It should be noted that it may be possible for a coroner (including a part-time coroner) to have a low but quite complex caseload e.g. due to a number of factors of complexity and that would need to be taken into account in determining the local pay point. Conversely, it may be possible for a coroner to have a high caseload of low complexity.

In addition to the above factors there may be an exceptional local factor that it is determined is appropriate to be taken into account e.g. a major transport hub such as an international airport or military port/hub. As with all other factors you will wish to be mindful of the number, type, and local evidence of risk/complexity.

Senior and Area Coroners

The factors set out above would apply to both Senior (full-time and part-time) and Area Coroners and we would anticipate them being placed at the same point within the appropriate range for the coronial area.

Part-time Senior Coroners

Part-time senior coroners must keep a note of time spent on coronial business including details of days worked, indicating time worked (half or full day), where and what work undertaken and they may be required to provide a "fee note" in this respect. How such a note would look in practice is a matter for local determination. How and when payment is made to part-time senior coroners is a matter for local determination. Earnings will be capped at the level of a full-time senior coroner in a similarly complex area.

Assistant Coroners

We would expect a broad correlation between the pay of a Senior Coroner and the daily rate determined for Assistant Coroners working within that same coroner area. Where the Senior Coroner role is paid at the mid-point or below then the mid-point of the Assistant's range should be a ceiling. Where the Senior Coroner role is paid above the mid-point then that same figure should be a floor. Assistant Coroners will be expected to operate across the complexity of the area/role as per the jointly agreed job description.

Other issues

Performance management - local authorities will be aware that at present, they are unable to formally performance manage coroners. This matter is outside of the remit of the JNC. However, it is believed that the Chief Coroner at some future stage will be providing guidance on performance management.

Next review - The JNC's pay ranges will next be reviewed in September 2018 with a view that any agreed changes would be implemented from 1st April 2019.

Yours faithfully

SIMON PANNELL
JENNIFER LEEMING

Joint Secretaries

EXECUTIVE BOARD

22ND OCTOBER 2018

REVISED CARMARTHENSHIRE LOCAL DEVELOPMENT PLAN 2018 – 2033 DRAFT PREFERRED STRATEGY

Recommendations / key decisions required:

- To consider and approve the content of the Draft Preferred Strategy (and supporting documents) for the Revised Local Development Plan 2018 – 2033 for formal public consultation.
- To grant officers delegated authority to make non-substantive typographical or factual amendments as necessary to improve the clarity and accuracy of the Draft Preferred Strategy.

Reasons:

- To comply with the Council's statutory obligations in terms of the preparation and progression of a Revised Local Development Plan for Carmarthenshire, in accordance with statutory procedures.
- To respond and accord with the timetable for the preparation of the Revised LDP as set out within the approved Delivery Agreement.
- To ensure that the preparation and adoption of the Revised (replacement) LDP proceeds in a timely manner ahead of the expiration of the current LDP.

Relevant scrutiny committee to be consulted:

Community Scrutiny Committee: Scheduled - 23rd November 2018

Exec Board Decision Required YES

Council Decision Required YES

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr Mair Stephens

Directorate : Environment	Designations :	Tel Nos. 01267 228659
Name of Head of Service:		E Mail Addresses:
Llinos Quelch	Head of Planning	LQuelch@carmarthenshire.gov.uk
Report Author: Ian Llewelyn	Forward Planning Manager	IRLlewelyn@carmarthenshire.gov.uk

EXECUTIVE SUMMARY

EXECUTIVE BOARD

22ND OCTOBER 2018

REVISED CARMARTHENSHIRE LOCAL DEVELOPMENT PLAN 2018 – 2033

DRAFT PREFERRED STRATEGY

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

This Report follows the approval at County Council on the 10th January 2018 to formally commence the preparation of a Revised (replacement) Local Development Plan (LDP), along with the Welsh Government's approval of the Delivery Agreement on the 28th June 2018 including its timetable for Plan preparation.

The preparation of the Draft Preferred Strategy (officially titled as the Pre-Deposit Preferred Strategy) represents an important milestone in the Council delivering on its statutory responsibilities to prepare an up-to-date Development Plan for the County (excl. the area within the Brecon Beacons National Park Authority).

The report sets out the Draft Preferred Strategy for the Revised LDP by identifying the Council's land use Vision, strategic objectives and strategic growth requirements for the County through till 2033. Approval is sought for its publication as part of a formal public consultation for a minimum statutory period of 6 weeks. It should be noted that the Delivery Agreement identifies December 2018 for the publication of the Draft Preferred Strategy.

2. Background

The preparation of the Draft Preferred Strategy reflects the Council's statutory responsibilities to produce the revised LDP under the Planning and Compulsory Purchase Act 2004 - setting out policies and proposals for future development and use of land for Carmarthenshire over the period to 2033. The Delivery Agreement as approved by the Welsh Government (WG) and identifies the timeline for the preparation and Adoption of the Plan by November/December 2021.

In determining the need to prepare a Revised LDP, members will recall that a Review Report was prepared in relation to the current Adopted LDP. This Review Report identified the following considerations:

- The need to ensure that a Revised LDP would be prepared and adopted before the expiration of the current LDP at the end of 2021.
- Indicated failures in the delivery of the LDP strategy, the settlement framework and the spatial distribution of growth - notably in respect of both the level and spatial distribution of growth, and the need to ensure that the strategy, particularly in terms of spatial distribution of growth and the performance of the tier 2 and 3 settlements is realistic and deliverable.

- Failure to deliver a 5 year housing land supply, as required within PPW and Technical Advice Note 1.
- Need to ensure that the strategy and the identified growth requirements are robust, and that the spatial framework, distribution of growth and the allocated sites within the Plan are deliverable.
- To consider the implications of the 2014-based Local Authority Population and Household Projections and the variance in population change and household requirements.
- In addition, to consider contextual changes and changes in the form of legislation, national policy and a range of Plans and strategies and to the evidence base.

The preparation of the Draft Preferred Strategy, in reflecting the above and other outcomes from the Annual Monitoring Reports, also seeks to develop an evidence-based process. This is derived from a the need to develop a balanced understanding of the regional and local context, as well as those key issues and drivers relevant to, and addressable through planning policies and land use allocations planning policies.

At the heart of this, is the need for a level of population growth which reflect the Council's objectives and aspirations for job creation and delivery of new homes (including affordable), whilst recognising the diversity of the County, its economy and communities. In this respect, the Draft Preferred Strategy will at a strategic level (matters of detail and individual sites will be considered at the Deposit LDP stage), seek to balance these requirements ensuring that sufficient housing, employment sites, community facilities and infrastructure is provided to support this anticipated level of growth in a way that does not have an unacceptable adverse impact on the environment or communities.

The development of the preferred strategy and its components including: Issues; Vision, Strategic Objectives; Growth Options; Spatial Options and preferred strategic approach have been considered and developed in light of engagement through a number of groups and consultations including the Key Stakeholder Forum. The documentation associated with these consultations will be published along with the Preferred Strategy.

3. Draft LDP Preferred Strategy

The Draft Preferred Strategy consists of a number of key elements effectively reflecting stages in its preparation. Engagement has, in accordance with the provisions of the Delivery Agreement been an important aspect of the strategy's preparation, with the deliberations of the Key Stakeholder Forum and other focused groups being instrumental.

In following a sequential approach to its preparation, a series of key issues and drivers were identified and formed the basis for the formulation of the Vision and Strategic Objectives – these underpin the Draft Preferred Strategy. They reflected not only the feedback and input through evidence gathering, but also sought incorporate legislative duties such as the Well-being of Future Generations Act 2015, and other key Plans and strategies such as the Corporate Strategy and the Swansea Bay City Deal.

A key element of the Draft Preferred Strategy is founded on the need for the Plan to make appropriate provision for sustainable and deliverable growth. In this respect, the Council has sought to challenge the Welsh Government's 2014-based population and household projections. The 2014-based projections indicated a requirement of approximately 3,200 homes during the revised LDP period. In seeking to challenge these projections and deliver a sustainable level of growth for Carmarthenshire regard has been had to a range of indicators including strategies and objectives for the County at a regional and corporate level as well as current rates of delivery.

As a consequence of the above a specialist demographic consultancy (Edge Analytics) have been utilised to develop a range of population and household scenarios for the Plan period through to 2033. The potential demographic scenarios are highlighted in the table below.

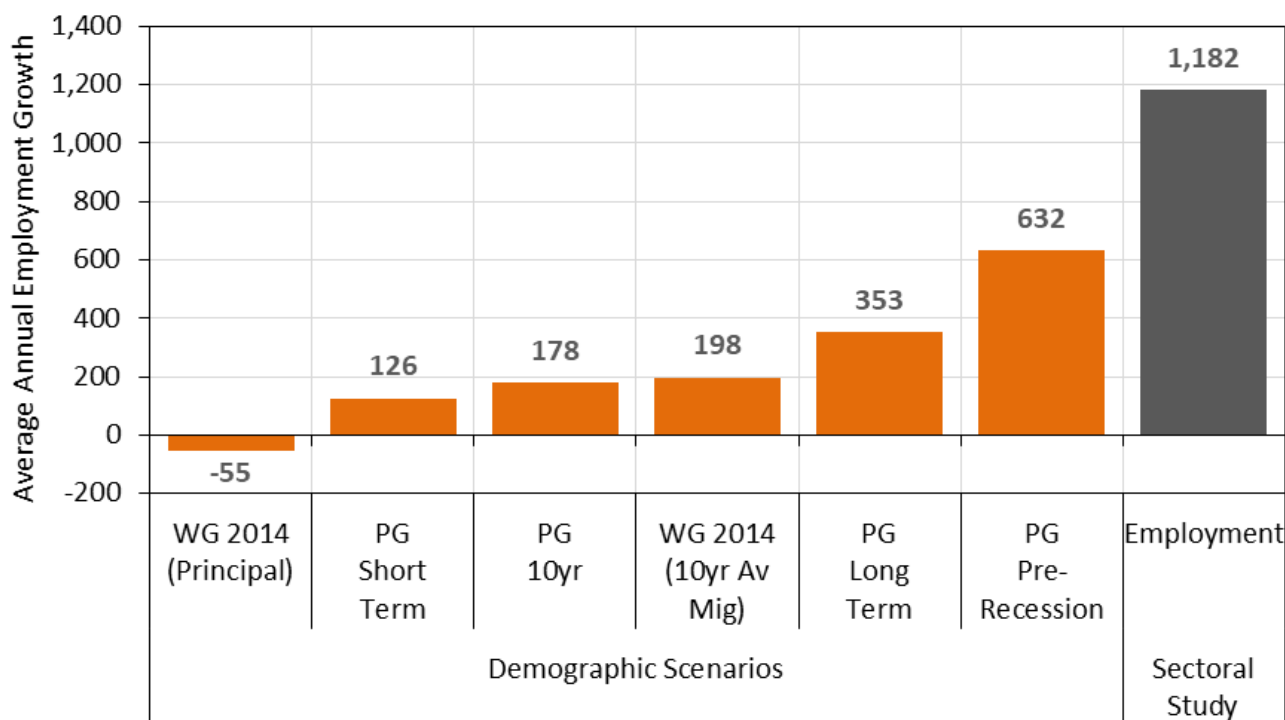
It should be noted two employment based scenarios were also prepared. These have not been considered in this report reflecting the significant scale of household growth they projected. Further information on the population and household projections is outlined in the appended briefing note.

Scenario	Change 2018-2033				Average per year			Total Dwelling Growth (Census VR)	Total Dwelling Growth (ALT. VR)
	Population Change	Population Change %	Household Change	Household Change %	Net Migration	Dwellings (Census VR)	Dwellings (ALT. VR)		
PG Pre-Recession	26,811	14.2%	13,616	16.6%	2,028	969	939	14,529	14,090
PG Long Term	17,567	9.4%	9,555	11.7%	1,423	680	659	10,195	9,887
PG 10 year	11,755	6.3%	6,992	8.6%	1,043	497	482	7,461	7,236
PG Short Term	10,691	5.7%	6,807	8.4%	997	484	470	7,263	7,044
(WG 2014 (10yr Average Migration	10,842	5.8%	6,322	7.7%	921	450	436	6,746	6,542
WG 2014 based	3,207	1.7%	3,254	4.0%	546	231	224	3,472	3,367

PG – Projected Growth
WG – Welsh Government

Preferred Growth Scenario - As the above indicates a range of options were considered each taking particular trends and migration assumptions into account. However, in order to establish a level of growth which delivers on the Council's corporate regeneration objectives, and the opportunities presented through the City Deal for the creation of 5,295 new jobs by the end of the Plan period, it was important to measure population change and the creation of new homes against the delivery of this number of jobs. In this respect, only two of the demographic scenarios above provide for such a level of growth. The following figure in identifying Carmarthenshire's Projected Average Annual Employment Growth identifies that the Projected Growth Long Term and Projected Growth Pre-recession scenarios provides for 5,295 and 9,480 jobs respectively for the Plan period. Consequently both scenarios deliver sufficient jobs growth to meet the 5,000 jobs target identified above.

Carmarthenshire Average Annual Employment Growth



Consequently, and in order to meet this requirement and deliver the economic growth necessary to deliver and support the economic objectives set out within the following it is proposed that a requirement for 9,887 new homes be delivered by 2033:

- The Council's Strategic Regeneration Plan 2015 – 2030 – Transformations;
- Swansea Bay City Deal;
- The New Corporate Strategy 2018 – 2023;
- Council's Well-being Objectives; and
- Moving Forward in Carmarthenshire: the next 5-years.

This will see an overall population increase of 17,567 (9.4%). This reflects the PG Long Term set out in the tables above. It should be noted that whilst this figure is above that set out within the WG 2014-based projections, it is also notably below the current LDP which makes provision for 15,197 homes.

Through utilising this strategy for growth through PG Long Term, it will therefore seek to deliver a minimum of 5,295 jobs over the Plan period, and this relates and correspond to the jobs growth figures within the Council's Regeneration Plan. The LDP will promote and develop the economy across Carmarthenshire and will set an appropriate land allocation in support of an ambitious Carmarthenshire which attracts investment and provides opportunities for those living and working in our communities. In respect to job creation, and how this transfers to the amount of employment land site allocations, it should be noted that this will be subject to further evidencing as part of the preparation of the Deposit LDP.

The proposed growth levels would also seek to challenge and address current demographic patterns particularly the out-migration as evidenced in the 16-19 age group (see appended briefing paper). It provides opportunities to balance the demographics of the County through the retention of, and in-migration of younger adults (including those returning) to the County, and address some of the issues which could be perceived from an aging population.

In addition, the growth requirement set within the Draft Preferred Strategy will also assist in ensuring sufficient opportunity exists to maximise affordable provision, including linking with:

- the recently established Council Housing Company;
- Affordable Housing Delivery Plan - with its provision for 1,000 new homes; and
- Local Housing Market Assessment; and
- to consider and reflect rural needs and issues, whilst reflecting the emphasis and requirements in respect of sustainable developments.

Reference is made to the current build rate within Carmarthenshire which indicates a completion rate of approx. 500 homes per year over recent years.

Preferred Spatial Strategy - As a mechanism for the distribution and delivery of growth a series of spatial options were identified and considered. These included:

- Option 1 – Current LDP
- Option 2 – Infrastructure and Transport Network
- Option 3 – Dispersal
- Option 4 - Community Led Option
- Option 5 – Swansea Bay City/Region Influence Option
- Option 6 – Market Led

In considering the above the Draft Preferred Strategy identifies a Hybrid which builds on Option 4 and reflects considerations around the rural agenda, City Deal/Regeneration and the need for infrastructure and market conditions to support delivery. This **Option Balanced Community and Sustainable Growth Strategy** represents a revision to the approach in the current LDP and one which seeks to address the issues highlighted in the Review Report, as well as reflecting the feedback in the formulation of the strategy.

This new spatial strategy will be reflective of the diversity of the County and its communities whilst having regard to sustainability and the emphasis on deliverability. The strategy does not seek to apportion development spatially within the hierarchy through proportional distribution or quotas, rather, it will seek to distribute the growth in a way which reflects the diversity of the settlement clusters and in a sustainable manner. It will have regard to the role and function of the settlements but also accepts that some settlements which may by virtue of the services and facilities available may not necessarily be the most appropriate options for all the growth. This may reflect a number of factors, not least environmental constraints, but also historical delivery of growth within such settlements.

The approach will avoid any assumption that that every settlement in every tier must contribute towards growth. Rather it will consider the settlements on their merits whilst having regard to their sustainability and position within the framework. The revised spatial hierarchy and the distribution of growth will therefore be expressed through the appended framework with settlements grouped under respective clusters.

Strategic Policies - A series of Strategic Policies have been developed to implement the delivery of the LDP and its strategic objectives. These policies have been grouped under the following well-being objectives as derived from the PSB Well-being Plan:

- **Healthy Habits** - People have a good quality of life, and make healthy choices about their lives and environment.
- **Early Intervention** - To make sure that people have the right help at the right time; as and when they need it.
- **Strong Connections** - Strongly connected people, places and organisations that are able to adapt to change.
- **Prosperous People and Places** - To maximise opportunities for people and places in both urban and rural parts of our county.

The Policies themes are as follows:

- Climate Change
- Well Designed Places and Spaces
- Strategic Growth
- Sustainable Distribution – Settlement Framework
- Providing New Homes
- Affordable Homes
- Gypsy and Traveller Provision
- Strategic Sites
- Employment and the Economy
- Transport and Accessibility
- Infrastructure
- Retail and Town Centres
- The Visitor Economy
- Rural
- Welsh Language and Culture
- Mineral Resources
- Waste Management
- Protection and Enhancement of the Built and Historic Environment.
- Protection and Enhancement of the Natural Environment.

The publication of the Draft Preferred Strategy will be accompanied by a suite of evidential and other documents. Key amongst these is the Initial Sustainability Appraisal (SA) which incorporates the Strategic Environmental Assessment (SEA). The SA is required by Section 62 (6a) of the Planning Compulsory Purchase Act 2004, while the SEA is a requirement of the SEA Directive 2001/42/EC1. An SEA is a mandatory requirement for plans/programmes. A copy of the SA is appended to this report. The SA is an integral part of the preparation of the Revised LDP, evaluating and testing its content throughout its preparatory process, in particular the Initial SA:

- Tests the Revised LDP objectives against the Sustainability Framework.
- Predicts and evaluates the effects of the LDP options in terms of both growth and spatial distribution, as well as the strategic policies that will be put in place to implement them.
- Considers ways of mitigating adverse effects and maximising beneficial effects.
- Proposes measures to monitor the significant effects of implementing the LDP.

A further key document is the Habitat Regulations Assessment Screening (HRA) Report. This will be available for reporting at Full Council. The HRA screening report considers the content of the Draft Preferred Strategy and as such is being completed as the Preferred Strategy is finalised and as it progresses through the reporting process.

Both of the above will also be available for public consultation.

It should be noted that the Draft Preferred Strategy does not include:

- **Site specific allocations or development limits/settlement boundaries**, for example housing or employment sites. These will be identified in the Deposit LDP;
- **Detailed or specific planning policies** – additional and more specific policies to support the Strategic Policies. These will be included in the Deposit LDP; and
- It does not consider the submitted Candidate Sites - A detailed evaluation of these will be undertaken ahead of the preparation of the Deposit LDP. The register of Candidate Sites will be available to view on the Council's website towards the end of October.

4. Next Steps

Following the Council's deliberations, the Draft Preferred Strategy along with the Initial SA and HRA screening Report will be published for formal public consultation for a minimum of 6 weeks with copies of the documentation available on the Council's website and at locations across the County. Supporting evidence and background documents will also be published as appropriate.

Representations received along with the Draft Preferred Strategy will be reported back to Council for consideration before its content is finalised ahead of the next stages in the LDP's preparation.

The Draft Deposit LDP with its detailed policies and maps (including allocations) will be published at the end of 2019.

Note: It should be noted that whilst the revised LDP is being prepared, the current adopted Plan remains extant and will continue to provide the planning policy framework by which planning applications will be determined.

DETAILED REPORT ATTACHED ?	YES
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IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: L Quelch

Head of Planning

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	YES	YES	NONE	YES	YES

1. Policy, Crime & Disorder and Equalities

The Draft Preferred Strategy identifies the links and requirements necessary to ensure the Plan, and the processes in its preparation are compatible with Carmarthenshire County Council's well-being objectives. It also ensures alignment with the national Well-being Goals set out within the Well-being of Future Generations Act 2015. Through its land use planning policies, the Revised LDP will seek to promote the principles of sustainability and sustainable development by facilitating the creation of communities and local economies which are more sustainable, providing access to local services and facilities and reducing the need to travel.

The integration of sustainability as part of the preparation of the LDP is reflected in the undertaking of a Sustainability Appraisal and Strategic Environmental Assessment reflecting national and international legislative requirements. The formulation of the Revised LDP will closely consider matters of sustainability and will be prepared with the outcomes of the Plan measured in light of the Sustainability Appraisal indicators. This iterative approach ensures sustainability is at the heart of the Plan and that it is reflective of the requirements emanating from the Wellbeing and Future Generations Act 2015 and the emerging Carmarthenshire Well-being Plan.

The LDP will have full regard to the national legislative provisions and will relate and have regard to the Carmarthenshire Well-being Plan. The will be assessed against the National and local Well-being Objectives. The Revised LDP will ensure the requirements emanating from the Act are fully and appropriately considered with the Plan, reflective of its duties.

2. Legal

The preparation of the Revised LDP reflects the provisions of the Planning and Compulsory Purchase Act 2004, the requirements of the Planning (Wales) Act 2015 and secondary legislation in the form of the Local Development Plan (Regulations) Wales (As amended) 2015.

The preparation of the LDP will also have appropriate regard to other sources of primary and secondary legislation including the Environment (Wales) Act and the Well-being of Future Generations Act 2015.

The preparation of the Draft Preferred Strategy is in accordance with the 2004 Planning and Compulsory Purchase Act. It is also in line with national regulations and guidance in relation to its scope and content.

3. Finance

Financial costs to date are covered through the financial provisions in place - including growth items and reserves. Should the Planning Division Budget not be in a position to provide further funding necessary to meet the statutory requirements to review and prepare a development plan then an application will be made for a further growth bid.

The Delivery Agreement, in making reference to such matters, outlines the Council's commitment to prepare and adopt an up-to-date LDP in accordance with the Council's statutory duty.

4. ICT

Requirements in relation to ICT will seek to utilise existing resources. An additional and revised data management requirement will be procured to ensure the plan's preparatory process is conducted in a speedy, efficient and transparent manner in accordance with regulatory requirements.

6. Physical Assets

Reference is made to the potential for the submission of Council owned sites and properties. The preparation of the Revised LDP will impact on Council land and property holdings through their inclusion or otherwise for potential development purposes. This will have implications on potential disposal and land valuations and consequently capital receipts.

7. Staffing Implications

Provision will be required for a Programme Officer for the Examination into the LDP (anticipated 2020/21).

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: L Quelch

Head of Planning

1. Scrutiny Committee

Scheduled 23rd November 2018 – Community Scrutiny

2. Local Member(s)

The content of the Draft Preferred Strategy will be subject to full public consultation. Members will be engaged throughout the LDP revision process.

3. Community / Town Council

The content of the Draft Preferred Strategy will be subject to full public consultation. Town/Community Councils(s) are a specific consultee at statutory stages throughout the LDP revision. A specific session on the Revised LDP for Town and Community Councils has been undertaken.

4. Relevant Partners

The content of the Draft Preferred Strategy will be subject to full public consultation. Contributions have and continue will be sought throughout the revision process. A range of partners are identified as specific and general consultees throughout the review process.

5. Staff Side Representatives and other Organisations

The content of the Draft Preferred Strategy will be subject to full public consultation. Internal contributions have and continue will be sought throughout the revision process.

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Adopted Carmarthenshire Local Development Plan		http://www.carmarthenshire.gov.wales/home/residents/planning/policies-development-plans/local-development-plan/
Supplementary Planning Guidance		http://www.carmarthenshire.gov.wales/home/residents/planning/policies-development-plans/supplementary-planning-guidance/#.V06h-JwrKUk
Annual Monitoring Report 2015/16		http://www.carmarthenshire.gov.wales/media/3683/annual-monitoring-report-201516-amr-document-for-web.pdf
Annual Monitoring Report 2016/17		http://www.carmarthenshire.gov.wales/media/1212553/annual-monitoring-report-2016-17.pdf
LDP Review Report		http://www.carmarthenshire.gov.wales/media/1213042/ldp-review-report-english-version.pdf
Delivery Agreement		https://www.carmarthenshire.gov.wales/media/1215059/delivery-agreement-agreed-by-welsh-government.pdf

Appended – Settlement Framework

	Cluster 1	Cluster 2	Cluster 3	Cluster 4	Cluster 5	Cluster 6
Tier 1 – Principal Centre	Carmarthen	Llanelli	Ammanford/Crosshands			
Tier 2 Service Centre	Pontyates/ Meinciau/ Ponthenri	Burry Port	Brynamman	Newcastle Emlyn	Llandovery	St Clears / Pwll Trap
		Pembrey	Glanamman/Garnant	Llanybydder	Llandeilo	Whitland
		Fforest/Hendy	Pontyberem/Bancffosfelen	Pencader	Llangadog	Laugharne
		Llangennech				
		Trimsaran/Carway				
	Kidwelly					
	Ferry side					
Tier 3 – Sustainable Villages	Cynwyl Elfed	Mynyddygarreg	Carmel	Drefach/ Felindre	Caio	Llanboidy
	Llanybri	Five Roads/Horeb	Cwmgwili	Waungilwen	Ffarmers	Glandy Cross
	Llansteffan	Llansaint / Broadway	Foelgastell	Llangeler	Llansawel	Efailwen
	Bronwydd		Maesybont	Pentrecwrt	Rhydcymerau	Llangynin
	Cwmffrwd		Ystradowen	Saron/Rhos	Talley	Meidrim
	Llangyndeyrn	Llannon		Llanllwni	Cwrt Henri	Bancyfelin
	Brechfa	Llanedi		Cwmann	Llanfynydd	Llangynog
	Llangain			Capel Iwan	Llanwrda	Pendine
	Idole and Pentrepoeth			Llanfihangel ar Arth	Cwmdu	Llanddowror
	Peniel			Trelech	Cwmifor	Llanmiloe
	Alltwalis			Pontyweli	Salem	

	Llanpumsaint			Cenarth	Abergorlech	
	Llandyfaelog					
	Rhydargaeau					
	Llanfihangel-ar-arth					
	New Inn					
	Llanarthne					
	Capel Dewi					
	Nantgaredig					
	Pontargothi					
	Llanddarog					
	Porthyrhyd					
	Crwbin					
	Cwmdud					
Tier 4 - Rural Villages (No Development Limits)						
				Penboyr	Ffaldybrenin	Cwmfelin Mynach
	Hermon	Cynheidre	Capel Seion	Drefelin	Crugybar	Cwmbach
	Abernant	Four Roads	Derwydd	Cwmpengraig	Cwm-du	Blaenwaun
	Blaenycod		Heol Ddu	Cwmhiraeth	Ashfield Row	Llanglydwen
	Bancycapel		Maesybont	Pentrecagal	Felindre (Llangadog)	Cwmfelin Boeth
	Nantycaws		Milo	Pontarsais	Cynghordy	Cross Inn
	Croesyceiliog		Pantllyn	Gwyddgrug	Golden Grove	Llansadurnen
	Felingwm Uchaf		Pentregwenlais	Dolgran	Broad Oak	Broadway
	Felingwm Isaf		Temple Bar	Bancyfford	Trapp	Red Roses
	Llanegwad		Cefnbrynbrain	Bryn Iwan	Manordeilo	Llanfallteg
	Pontantwn		Rhosamman	Pencarreg	Penybanc	

	Nebo		Drefach (Llandyfan)		Felindre, (Dryslwyn)	
	Talog		Stag and Pheasant		Dryslwyn	
	Cross Inn		Mynyddcerrig		Rhydcymerau	
	Penybont				Waunystrad Meurig	
	Whitemill				Bethlehem	
	Pont-Newydd				Capel Isaac	
					Llangathen	
					Llansadwrn	
					Rhandirmwyn	
					Porthyrhyd	
					Pumsaint	
					Siloh	

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Revised Carmarthenshire Local Development Plan 2018 – 2033

Draft Pre-Deposit Preferred Strategy

Report to Executive Board

Foreword

(Insert)

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- 3. What is in the Preferred Strategy?**
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- Strategic Policy – SP 11: Placemaking, Sustainability and High Quality Design
- Strategic Policy – SP 12: Rural Development
- Strategic Policy – SP 13: Protection and Enhancement of the Natural Environment
- Strategic Policy – SP 14: Protection and Enhancement of the Built and Historic Environment
- Strategic Policy – SP 15: Climate Change
- Strategic Policy – SP 16: Sustainable Distribution – Settlement Framework
- Strategic Policy – SP 17: Transport and Accessibility
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- Strategic Policy – SP 19: Waste Management

1. Introduction

The Council is responsible for preparing and keeping up-to-date the Local Development Plan (LDP)¹. The LDP sets out planning policies and allocates sites for different types of development. The Council is also responsible for development management which involves the processing and determination of planning applications with the LDP guiding and managing development by providing the foundation for consistent and clear decision making. In meeting the above responsibilities we are in the process of preparing a Revised LDP. Once adopted we will use this LDP for assessing planning applications through until 2033 but will continue to monitor and review its content to ensure it remains relevant and is working as intended.

The LDP has a direct and meaningful effect on the people and communities of Carmarthenshire and visitors alike. It will shape the future development in the County and its environmental qualities, influencing it economically and socially. The LDP will respond to the needs of a growing and regionally important economy making provision for new jobs, homes, infrastructure and community facilities. It also ensures the well-being of its communities is maintained, and the impacts of the development and use of land are managed sustainably. It will guide funding and investment programmes, other plans and strategies, communities and landowners whilst providing for the enhancement and protection of our environment and environmental qualities. In doing so, it provides a measure of certainty and confidence about what kind of development will, and will not, be permitted and at what locations during the Plan period.

The part of Carmarthenshire which is within the Brecon Beacons National Park has its own separate development plan.

In ensuring that the current adopted LDP remains up to date, a review was undertaken into its content with the outcomes published in the Review Report². This review, whilst finding that many aspects of the adopted LDP are functioning effectively, also identified that there were issues in relation to parts of the Plan and its strategy. The Review Report showed that parts of this strategy were not being delivered as intended with both the level and spatial distribution of growth requiring further consideration. It concluded that we start the preparation of a revised LDP to replace the existing adopted Plan. The Revised LDP 2018 –

¹ The Planning and Compulsory Purchase Act 2004 and the Local Development Plan (LDP) Regulations 2005 sets the framework and legal context for the preparation of Local Development Plans in Wales.

² <https://www.carmarthenshire.gov.wales/media/1213042/ldp-review-report-english-version.pdf>

2033 will replace the current adopted Plan on adoption which is scheduled for December 2021.

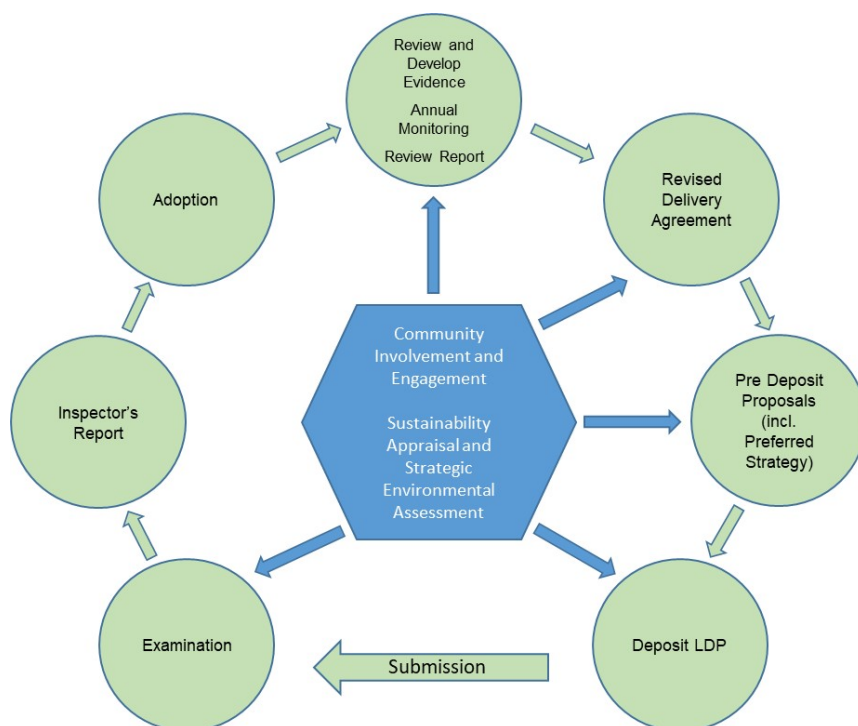
2. What is the Preferred Strategy?

This Preferred Strategy is part of a set of documents which we are required to prepare in the process of producing the Revised LDP for Carmarthenshire. It represents an early but important early stage in preparing the Plan and follows the publication of the Delivery Agreement as approved by the Welsh Government on the 28th June 2018³.

The purpose of this Preferred Strategy is to set the long term vision for Carmarthenshire (excluding that area within the Brecon Beacons National Park) and the strategic objectives and the strategic land use policies to deliver that vision.

It will provide the strategic direction for the development and use of land until 2033. It also tells us how much development is needed and broadly where this is likely to be. However, this Preferred Strategy is not the full LDP, rather it sets out broad strategic principles for development in our area. The full Plan is called the Deposit LDP and will contain detailed and specific policies as well as settlement maps, development limits, site-specific allocations (housing sites) etc.

³ <https://www.carmarthenshire.gov.wales/home/council-services/planning/local-development-plan-2018-2033/delivery-agreement/#.W3bSe-aouUk>



Further information on the stages in preparing the LDP is available within the Delivery Agreement or on the Council's web-pages.

This Preferred Strategy should be read and considered as a whole having regard to the provisions of Planning Policy Wales and the relevant Technical Advice Notes.

3. What is in the Preferred Strategy?

The format and structure of the Preferred Strategy has sought to reflect the core elements of sustainability, along with the four well-being objectives within the Carmarthenshire Well-being Plan⁴. The Strategic Policies will follow this structure with cross-referencing to the relevant Plan objectives, as well as the relevant Well-being goals.

This Draft Preferred Strategy will be made available for public consultation, aimed at engaging with communities, the public, partners, developers and interest groups.

The following is **NOT** included within this Preferred Strategy:

- **Site specific allocations or development limits/settlement boundaries**, for example housing or employment sites. These will be identified in the Deposit LDP;

⁴ <http://www.thecarmarthenshirewewant.wales/>

- **Detailed or specific planning policies** – additional and more specific policies to support the Strategic Policies. These will be included in the Deposit LDP; and
- A detailed evaluation of the **Candidate Sites** submitted – the register of candidate sites is available to view as is the Site Assessment Methodology which we will use to look at the suitability of each site.

The Sustainability Appraisal of the Draft Preferred Strategy has been published as a separate document along with the Habitat Regulations Assessment Screening Report. Both these documents are available for consultation with comments welcomed on their content.

4. Influences on the Plan

Whilst the LDP plays a key role in shaping decision making and the location and nature of developments within the County, it is prepared and operated within the national framework set through legislation and by Planning Policy Wales⁵ and accompanying Technical Advice Notes⁶.

The process itself for the preparation of the LDP is set within statutory regulations, with further procedural guidance contained within the LDP Manual as prepared by the Welsh Government. The preparation and content of the LDP will be assessed against three tests of soundness⁷ namely:

1. Does the plan fit?
2. Is the plan appropriate?
3. Will the plan deliver?

The preparation of the Plan will culminate with the Planning Inspector (as appointed by the Welsh Government). The Inspector will examine the LDP against these three tests to assess its soundness. The findings of the Examination will be published in the Inspector's Report, and its content and recommendations are binding on the Authority.

⁵ <https://gov.wales/topics/planning/policy/ppw/?lang=en>

⁶ <https://gov.wales/topics/planning/policy/tans/?lang=en>

⁷ To be adopted, a Local Development Plan must be determined 'sound' by the examination Inspector (section 64 of the 2004 Planning and Compulsory Purchase Act). Tests of soundness and checks are identified in Planning Policy Wales Edition 9 and the Approved Revised LDP Delivery Agreement.

As the Council plans for the future, we must also work closely with, and respond to, various partners, other agencies, funding bodies and decision makers to inform, guide and implement programmes and proposals. The LDP, whilst central in informing future policies, programmes and investment strategies across a range of agencies and bodies will have also been influenced by, and reflect those which support the delivery of its policies and proposals.

A number of important documents and strategies relate to Carmarthenshire. We have and will, where applicable, prepare the plan to reflect such documents and plans of other organisations, including our neighbouring planning authorities, and national and regional policies and strategies. We will work with our neighbours and others in the preparation of the LDP as appropriate.

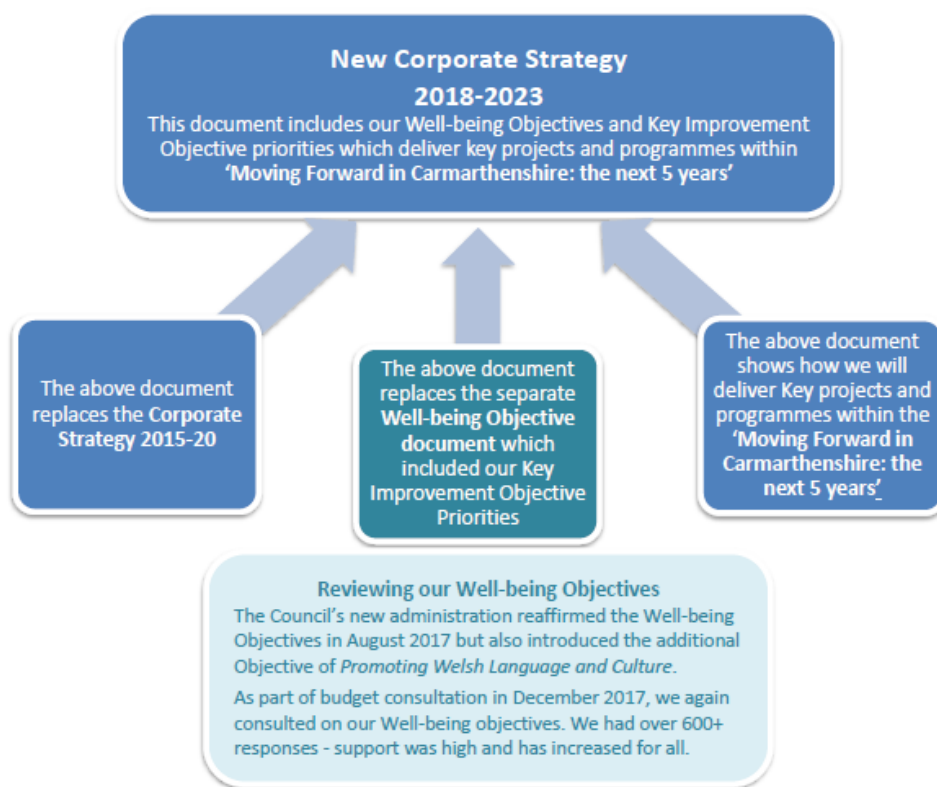
There have been a number of significant contextual changes in Welsh legislation since the adoption of the current LDP. These include the publication of the Planning (Wales) Act 2015 and the Environment (Wales) Act 2016. Perhaps most significant however, is the Well-being of Future Generations (Wales) Act 2015. This represents a big change, with the Plan required to contribute to its aims of improving the economic, social, environmental and cultural well-being of Wales as part of carrying out sustainable development. The Plan will look to the national well-being goals and objectives as well as the Council's own well-being objectives⁸ in its policies and proposals.

The Council, in preparing its New Corporate Strategy, consolidated the following plans into the one document and will underpin many aspects of the LDP in moving forward:

1. It supersedes the 2015-20 Corporate Strategy;
2. It incorporates our Improvement Objectives as required by the Local Government Measure 2009;
3. It includes our Well-being Objectives as required by the Well-being of Future Generations (Wales) Act 2015. For the first time in Wales, there is a shared vision and set of goals for all public bodies to work towards, our Well-being Objectives are set to maximise our contribution to these

⁸ The 15 Well-being Objectives are defined within – Moving Forward in Carmarthenshire: The Council's New Corporate Strategy 2018 – 2033 (<https://www.carmarthenshire.gov.wales/media/1214849/corporate-strategy-18-23.pdf>)

4. It includes Carmarthenshire County Council's Executive Board key projects and programmes for the next 5 years as set out in 'Moving Forward in Carmarthenshire: the next 5 years'



This Draft Preferred Strategy also reflects the Sustainability Appraisal (SA) Scoping Report⁹ giving full and careful consideration of all the relevant factors it identified. As we continue the process of preparing the Plan, the SA and the requirements for producing the Habitat Regulations Assessment (HRA) will help us in developing the LDP in a way which ensures it takes on board those sustainability and environmental values.

Such contextual changes, the findings of the Review Report and changes in evidence will be important in informing how the Plan is prepared, and its direction both strategically through this Draft Preferred Strategy, but also at a detailed policy level.

⁹ <https://www.carmarthenshire.gov.wales/home/council-services/planning/local-development-plan-2018-2033/sustainability-appraisal-strategic-environmental-assessment/#.W4klWuaouUk>

Extensive work and liaison has, and is, being undertaken to build and raise awareness and communication with a wide range of organisations and individuals. The information, issues and evidence emerging from such communications has been invaluable in the work undertaken to date and will continue in ensuring the preparation of the LDP is as informed and consensual as possible.

5. Carmarthenshire - Strategic Context

Overview

Carmarthenshire is positioned at the heart of south west Wales. It enjoys strong links to wider economies both to the east and across into England, but also west to Pembrokeshire and Ireland as well mid and north Wales. Carmarthenshire boasts a dynamic economic base, reflecting its strong employment centres as well as a having an important rural economy. The County has been successful in attracting investment, and places regeneration as its number one corporate priority.

The County is characterised by its diverse towns and villages, large employment parks, regional retail centres, prominent rural economy, and attractive upland, estuarine and coastal landscapes. The Welsh language and culture are also important aspects of Carmarthenshire's identity and character with the County prominent as a heartland for Welsh speakers.

Within the County there are key economic drivers including the investments at Cross Hands in relation to the food park and the Cross Hands East employment site. The signing of the £1.3billion city deal in 2017 and the progress in delivering the associated projects - Yr Egin Creative Cluster in Carmarthen and the Llanelli Well-being and Life Sciences project - reinforces Carmarthenshire's strategic and regional importance.

Carmarthenshire is a County with a diverse character with the agricultural economy and landscape of the rural areas juxtaposed with the urban and post-industrial south-eastern area.

As a primarily rural County, the population density is low at 75.7 persons per sq. kilometre, compared with 140 persons per sq. kilometre for Wales as a whole. This sparsity of population is reflective of the largely rural communities as opposed to the south and east of the County where 65% of the population reside on 35% of the land.

The main urban centres of the County include Llanelli, Carmarthen and Ammanford / Cross Hands. Carmarthen due to its central geographic location typically serves the needs of the County's rural hinterland as well as the wider region in aspects such as retailing. Both Llanelli and Ammanford / Cross Hands have a rich industrial heritage but remain important contributors to their wider communities acting as focal points for employment and homes.

The County has a large number of settlements reflecting the size and diversity of the County. These vary in size and role with many often making notable contributions to the needs and requirements of their community and the surrounding area. A number of settlements and villages are self-sufficient in terms of facilities and services, often fulfilling a wider service role. However, other smaller settlements lack services and facilities. The needs of residents in these latter areas are typically met by main centres and in some instances the other serviced smaller settlements.

The richness of Carmarthenshire's natural and cultural environment is an important spatial consideration in planning for the future of the County, particularly in terms of the potential for growth and the siting of development. The plan area includes sites designated at the international level to protect and enhance important nature conservation value, as well as striking landscapes and distinctive historic towns and villages. The importance of the County's built heritage is borne out by the 27 conservation areas, 366 Scheduled Ancient Monuments (ranging from Prehistoric to post-Medieval/Modern features of cultural historic interest) and the large number of listed buildings. There are also a number of designated sites for nature conservation and biodiversity importance, including 8 Special Areas of Conservation, 3 Special Protection Areas, 1 Ramsar site, 90 Sites of Special Scientific Interest, 5 National Nature Reserves, 5 Local Nature Reserves and 7 registered landscapes.

Agriculture in Carmarthenshire dominates the rural landscape with the agricultural industry and in particular dairy and sheep farming establishing the County as one of the most important agricultural areas in Wales. Some 203,700 ha of land within Carmarthenshire is classified as agricultural land with the majority classified as grade 3a and 4 with a small tranche of grade 2 land in the south-east of the County.

Population

Carmarthenshire is home to around 6% of Wales' total population with 186,452 people. Since 2001, the County has seen its population grow by 12,800 people, a 7.4% increase in 16 years. The highest level of population growth was recorded before 2008, with the years since showing a lower level of growth.

The main factor influencing population change in Carmarthenshire since 2001/2002 has been through inward migration, where more people have come into the County than have left. The population growth is also considered against the County's natural change which has seen the number of deaths exceeding births each year since 2001/2002.

Migration patterns out of Carmarthenshire has seen a large number of the 15-19 age group leave the County. This largely reflects students leaving the County for higher education opportunities. There is an increase of people moving into the County within the 30-44 young family age group and the 0-14 year age group. There is also an increase in the over 65 age group which has contributed to Carmarthenshire's ageing population profile.

Since the inception of the Local Development Plan process in Wales, the Welsh Government has published four population and household projections. The 2006 and 2008 WG based projections have been influenced by high net migration statistics (internal and international) which identified significant growth for Carmarthenshire (as reflected in the Adopted LDP). However the WG 2011 and 2014-based projections reflected a post-recession phase which indicated a lower in-migration trend which has translated into a much lower anticipated household growth requirement for Carmarthenshire.

Looking ahead to the Revised LDP 2018-2033, the latest Welsh Government 2014-based household projections estimates that average household sizes are not decreasing as quickly as previous projections suggested. This higher estimate of household sizes coupled with the changes in population growth within the County has resulted in a much lower anticipated household requirement from that identified in the existing adopted LDP.

Connections

Carmarthenshire is well located on the strategic highway network with connections to the west provide links to the Irish ferry ports, which with the M4 forms part of the Trans-European Network. This east-west link is further emphasised by the West Wales railway line which extends from Swansea (and the wider rail network) through to Pembrokeshire via Carmarthen and Llanelli. The West Wales line also forms part of the Trans-European Network linking to and from the Irish Ferry Ports in Pembrokeshire. The Heart of Wales railway line extending from Swansea through eastern parts of the County through to Shrewsbury offers additional transport benefits albeit based on a limited service.

The County is also served by a number of A-roads as well as numerous B-classified roads each representing important components of the highway network. Our principal highway network includes the A48 trunk road leading to and from the M4 motorway with its connections through South East Wales and beyond. Whilst the A40 and A483 trunk roads connect to Mid and North Wales as well as to the Midlands and the North of England. Access into Central and onwards into North Wales is provided via the A484 and the A485.

The following illustrates the nature of the road network including the level of provision which is met through B and lower classification roads. This in part reflects of the rural extent of the County and emphasises the challenges to delivering a sustainable integrated strategy for the area.

Carmarthenshire Road Network – Road Length (Km)	
Motorway (M4)	5
Class A (Trunk)	147
Class A (County)	247
Class B and C	1,579
Minor Surfaced	1,496

The area is generally well served by public transport through the bus network, albeit with the level and frequency of service subject to variation dependent upon location and destination. In addition, a number of services operate on a 'Hail-&-Ride' basis in rural areas and 'Bwcabus' in the Teifi Valley, such services offer additional accessibility benefits to such areas.

6. Issues Identification

The Revised LDP needs to be strategic, concise and distinctive to our County. Focusing on the key issues facing our County has helped us achieve this.¹⁰ In preparing the revised LDP we have sought to review and update our understanding of the relevant issues.

The key issues are grouped under the national well-being goals. This means that the issues are framed within the context of the Well-being of Future Generations (Wales) Act 2015¹¹. This ensures that social, economic and environmental interests are embedded into the Plan making process.

¹⁰ Welsh Government Local Development Plan Manual – Edition 2 August 2015, Section 6.1.1

¹¹ Well-being of Future Generations (Wales) Act 2015

The SA Scoping report, as well as the work undertaken by the Public Service Board as part of the “Carmarthenshire We Want”¹² process, has informed the issues. The Carmarthenshire Wellbeing Plan 2018 – 2033 ¹³ has also been a key aspect of this work.

We have engaged and researched extensively as part of the conversation around issues generation. This includes elected Members, Town and Community Councils, Key Stakeholder Forum, policy review, LDP review report, corporate objectives/strategies, online surveys and the Sustainability Appraisal (SA) process¹⁴.

We understand where we are now as a County and where we all want to get to. This has allowed for the development of a consensus on those issues that a spatial / land use plan can seek to address up to 2033.

The 33 summary issues are as follows. Further detail is set out within the Issues Vision and Objectives Topic Paper¹⁵:

A Prosperous Carmarthenshire

- 1 The £1.3 billion Swansea Bay City Deal, with projects identified in Llanelli and Carmarthen.
- 2 Varying vibrancy and vitality within our retailing town centres
- 3 Appropriate growth is needed in rural areas (including employment opportunities)
- 4 A buoyant Visitor economy with potential to grow.

A Resilient Carmarthenshire

- 5 Risks from flooding and the challenges presented by climate change
- 6 Biodiversity designations ranging from the international to local level.
- 7 An ecological footprint that is currently exceeding sustainable levels.
- 8 Rich landscape or townscape qualities.

¹² <http://www.thecarmarthenshirewewant.wales/>

¹³ <http://www.thecarmarthenshirewewant.wales/media/8331/carmarthenshire-well-being-plan-final-may-2018.pdf>

¹⁴ Detailed information, including the engagement undertaken is set out within the Issues Vision and Objectives Topic Paper.

¹⁵ Detailed information is set out within the Issues Vision and Objectives Topic Paper.

A Healthier Carmarthenshire

9 An ageing population.

10 60% of adults reported as being overweight or obese.

11 Community life, education and public services indicate wellbeing in rural areas.

12 Beauty, peace and quiet, open green spaces and fresh air are also contributors to happiness in rural areas.

13 Air Quality Management Areas in Carmarthen, Llanelli and Llandeilo.

14 “Our big NHS change” and any implications.

A More Equal Carmarthenshire

15 Rural and urban deprivation.

16 Over 1 in 3 households are living in poverty.

17 Council’s target to provide 1,000 affordable homes.

A Carmarthenshire of Cohesive Communities

18 Lack of new homes being built in some Service Centres and Local Service Centres.

19 Lack of a five year supply of housing land and the need for a housing mix.

20 Changes in population and household forecasts indicate that significantly less homes are needed through to 2033.

21 Housing sites not being brought forward and built

22 A predominantly rural county where 60% of the population live in rural areas.

23 Ensuring infrastructure capacity can support development, including highways.

24 The need to promote and access alternative forms of transport.

25 Lack of employment opportunities, broadband and public services in rural areas.

26 Need to appreciate the sense of place – a county of contrasts.

A Carmarthenshire of Vibrant Culture and Thriving Welsh Language

27 Disused buildings across the County.

28 Need to measure the impact of development upon the Welsh language

29 Need for affordable housing within our communities to retain young families

30 Important archaeological sites and historic features

31 Highest number of Welsh speakers in Wales

A Globally Responsible Carmarthenshire

32 Emerging national and regional considerations including Brexit, National Development Framework, Strategic Development Plans and the review of Planning Policy Wales (Edition 10).

33 Need to promote energy efficiency in proposed and existing developments.

7. A Vision for ‘One Carmarthenshire’

The Revised LDP needs to be underpinned by a concise, long-term vision and strategy. In order to achieve this, a clear Vision has been developed that is built on consensus. This Draft Preferred Strategy’s Vision outlines how the County is planned to develop, change or be conserved up to 2033.¹⁶

The Revised LDP vision directly incorporates the vision set out in the Council’s Corporate Strategy *“Moving Forward in Carmarthenshire - the next 5 years – 2018-2023”*¹⁷. Whilst there is no vision to directly draw upon from the Carmarthenshire Wellbeing Plan, the Revised LDP vision reflects its four well-being objectives which are (1) *Healthy Habits* (2) *Early Intervention* (3) *Strong Connections* and (4) *Prosperous People and Places*.

The supporting text of well-being objective 4 has been incorporated into the Revised LDP vision due to this objective’s emphasis on *“maximising opportunities for people and places in both urban and rural parts of our county”*. This responds to the strong emphasis on recognising rural areas within the conversations undertaken around issues identification. The Revised LDP vision acknowledges and celebrates that our county is one of contrast and engenders a sense of place.

A *“One Carmarthenshire”* approach recognises the need to balance conflicting demands and interests and provides a platform for consensus and shared ownership of the Revised LDP. The Revised LDP vision also recognises the Swansea Bay City Deal and this sets the tone for this Draft Preferred Strategy to be positive and sufficiently aspirational.

¹⁶ Planning Policy Wales, Edition 9 (Section 2.2.1) and Welsh Government Local Development Plan Manual – Edition 2 – August 2015, Section 6.1.1

¹⁷ <https://www.carmarthenshire.gov.wales/home/council-democracy/strategies-and-plans/moving-forward-in-carmarthenshire-the-next-5-years/>

One Carmarthenshire

Carmarthenshire 2033 will be a place to start, live and age well within a healthy, safe and prosperous environment, where its rich cultural and environmental qualities are valued and respected.

It will have prosperous, cohesive and sustainable communities providing increased opportunities, interventions and connections for people, places and organisations in both rural and urban parts of our County.

It will have a strong economy that reflects its position as a confident and ambitious driver for the Swansea Bay City Region.

8. Strategic Objectives

The current Adopted LDP's strategic objectives were utilised as a starting point for the identification of strategic objectives for the Revised LDP.

The emergence of a range of contextual and policy drivers since 2014, most notably the Well Being of Future Generations Act 2015 and the signing of the Swansea Bay City Deal in 2017, mean that the Adopted LDP Strategic Objectives needed review. There was also a need to ensure that the Revised LDP strategic objectives were interwoven with the Revised LDP key issues and vision.

The Carmarthenshire Well Being Plan's wellbeing objectives have been utilised to group the Revised LDP's Strategic Objectives. This ensures that a local interpretation of wellbeing is interwoven into the strategic objectives and the Plan's strategy from the outset.

Whilst not directly identified as Revised LDP strategic objectives in themselves, the Council's wellbeing objectives, as outlined within the Corporate Strategy *"Moving Forward in Carmarthenshire - the next 5 years – 2018-2023"* have played an informing role. The Issues Vision and Objectives Topic Paper contains compatibility assessments between the Revised LDP strategic objectives, the Revised LDP strategic objectives and the Council's wellbeing objectives and the Revised LDP strategic objectives against the Sustainability Appraisal framework.

The Revised LDP strategic objectives are sufficiently aspirational and ambitious but are also deliverable within a spatial planning context. They respond and deliver upon the Plan's key

issues and provide a platform for delivering its vision. They provide a platform for a Sound Plan, notably in terms of their fit, appropriateness and deliverability ¹⁸

The strategic objectives are cross referenced to the relevant Revised LDP issue and are also subject to an analysis in terms of whether they are SMART (Specific Measurable Attainable Relevant and Time Bound).

The Revised LDP strategic objectives are below.

Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment.

SO1 To ensure that the natural environment, including habitats and species, are safeguarded and enhanced.	
LDP Issues addressed	6, 7, 12, 13, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO2 To assist with widening and promoting wellbeing opportunities through access to community, leisure and recreational facilities as well as the countryside.	
LDP Issues addressed	10, 11, 12, 15, 22, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO5 To safeguard and enhance the built and historic environment and promote the appropriate reuse of redundant buildings.	
LDP Issues addressed	8, 26, 27, 30, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

¹⁸ Paragraph 8.2.1.2 of the Welsh Government Local Development Plan Manual – Edition 2

Early Intervention - To make sure that people have the right help at the right time; as and when they need it

SO3 To assist in widening and promoting education and skills training opportunities for all.	
LDP Issues addressed	11, 15, 16, 22, 25, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO4 To ensure that the principles of equal opportunities and social inclusion are upheld by promoting access to a high quality and diverse mix of public services, healthcare, shops, leisure facilities and work opportunities, as well as vibrant town centres.	
LDP Issues addressed	2, 3, 9, 11, 14, 16, 18, 22, 25, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

Strong Connections - Strongly connected people, places and organisations that are able to adapt to change

SO6 To ensure that the principles of spatial sustainability are upheld by directing development to sustainable locations with access to services and facilities and wherever possible encouraging the reuse of previously developed land.	
LDP Issues addressed	5, 7, 13, 22, 23, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO7 To make a significant contribution towards tackling the cause and adapting to the effect of climate change, including promoting the efficient use and safeguarding of resources.	
LDP Issues addressed	5, 7, 13, 24, 26, 32, 33
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO8 To contribute to the delivery of an accessible integrated and sustainable transport system, including links to alternative transport methods.

LDP Issues addressed	22 ,23 , 24, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.

SO9 To protect and enhance the diverse character, distinctiveness, safety and vibrancy of the County's communities by promoting a place making approach and a sense of place.

LDP Issues addressed	8, 26, 28, 31, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO10 To make provision for an appropriate mix of quality homes across the County based around the principles of sustainable socio-economic development and equality of opportunities.

LDP Issues addressed	3, 17, 18,19, 20, 21, 22, 23, 26,28, 29, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO11 To assist in protecting, enhancing and promoting the Welsh Language and the County's unique cultural identity, assets and social fabric.

LDP Issues addressed	3, 17, 18, 20, 26, 28, 29, 31, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO12 To encourage investment & innovation in rural and urban areas by making adequate provision to meet employment need and to contribute at a regional level to the delivery of the Swansea Bay City Deal.

LDP Issues addressed	1, 2, 3, 4, 15, 16, 23, 25, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO13 To make provision for sustainable & high quality all year round tourism related initiatives.

LDP Issues addressed	4, 25, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

SO14 To reflect the requirements associated with the delivery of new development, both in terms of hard and soft infrastructure (including broadband).

LDP Issues addressed	23, 24, 25, 26, 32
Specific Measurable Achievable Relevant and Time Bound	✓
Aspirational and Ambitious	✓

(Insert LDP Vision and Process Chart)

9. Strategic Growth and Spatial Options

Strategic Growth Options

To inform the future direction of population and household growth within Carmarthenshire, the Council has undertaken a Population and Household Forecast Paper which highlights various population-led and employment-led growth options scenarios for the revised LDP period of 2018-2033. Each scenario is considered against the 2011 Census vacancy rate, in

addition to a variant vacancy rate calculated from Carmarthenshire's council tax records, which is calculated as 3.4%.

The Population and Household Forecast Paper also identifies the links between population growth and estimated employment growth. This is correlated by identifying how population growth and variances in the labour force and demographics supports job opportunities and economic growth.

WG 2014-based projection

The starting point for the analysis of future growth outcomes for Carmarthenshire is through the Welsh Government's (WG) 2014-based population and household projections. The 2014-based projections are the latest available. They incorporate the ONS 2014 mid-year population estimate, plus fertility, mortality and migration assumptions based on an historical five-year period prior to 2014.

The 2014-based projections are notably lower than that estimated under each of the previous WG projections. This is because they are based on a 5 year period of lower net in-migration, particularly given the impact of the recession, whilst household sizes have not decreased as quickly as previously considered. It would see a high percentage increase of 65+ year old persons which would provide a real challenge for the delivery of health and social care services within the County.

Housing build rates within Carmarthenshire since 2007 have been (on average) 493 houses per year. Adopting the 2014-based projection as the Preferred Strategy would result in a far lower level of growth with on average 231 dwellings per annum using the Census vacancy rate, or 224 dwellings per annum on the alternative vacancy rate being required for the revised LDP period of 2018-2033.

It is recognised that there is a link between providing for new houses and new jobs. The 2014-based projection would stifle any future development opportunity for the county and would mean that the Corporate drive for new employment growth would not be met, and be in conflict with other elements of the LDP strategy.

This scenario would have a significant impact on the labour force within Carmarthenshire resulting in a net outflow of workers and residents from the County. This scenario would estimate a negative job creation value of -55 per year.

Conclusion

Using this growth trend as the Preferred Strategy for Carmarthenshire would adversely impact upon the Council's strategic ambitions from both an economic and social perspective. Furthermore given the potential negative impacts highlighted above, it is not considered prudent to utilise the WG 2014-based projection in the revised LDP Preferred Strategy.

Using this scenario would not deliver the Plan's Vision and Strategic Objectives.

Other Projection Options

The forecast paper highlights 5 other demographic scenario options of population and household growth for Carmarthenshire – each considering various statistics to inform a potential growth trend within the county.

Scenario	Change 2018-2033				Average per year			Total Dwelling Growth (Census VR)	Total Dwelling Growth (ALT. VR)
	Population Change	Population Change %	Household Change	Household Change %	Net Migration	Dwellings (Census VR)	Dwellings (ALT. VR)		
PG Pre-Recession	26,811	14.2%	13,616	16.6%	2,028	969	939	14,529	14,090
PG Long Term	17,567	9.4%	9,555	11.7%	1,423	680	659	10,195	9,887
PG 10yr	11,755	6.3%	6,992	8.6%	1,043	497	482	7,461	7,236
PG Short Term	10,691	5.7%	6,807	8.4%	997	484	470	7,263	7,044
(WG 2014 (10yr Average Migration	10,842	5.8%	6,322	7.7%	921	450	436	6,746	6,542
WG 2014 based	3,207	1.7%	3,254	4.0%	546	231	224	3,472	3,367

WG 2014-based (10 year average migration) projection

This projection utilises the WG 2014-based natural change assumptions but also considers the 10 year migration period between 2003/2004 and 2012/13. This trend uses a migration period prior to, and post-recession, which would see a population and household change of 5.8% and 7.7% respectively during the plan period of 2018-2033. The housing requirement within this scenario (2011 Census vacancy rate) would equate to 450 dwellings per year, which would be less than that currently being built within Carmarthenshire on an average yearly basis. This equates to 6,746 dwellings over the LDP period 2018-2033.

In considering this projection against the variant vacancy rate of 3.4%, the dwelling requirement within this scenario reduces to 436 dwellings per year. This equates to 6,542 dwellings over the LDP period 2018-2033.

This scenario would estimate the creation of 198 additional jobs per year, far less than that considered within the Carmarthenshire's *Strategic Regeneration Plan*.

Conclusion

Given the potential negative impacts highlighted above, it is not considered prudent to utilise both variant scenarios of the WG 2014-based (10 year average migration) projection as the growth option for the revised LDP Preferred Strategy. It would not deliver the Plan's Vision and Strategic Objectives.

Both variant scenarios would limit Carmarthenshire's economic ambitions in terms of job creation and keeping younger adults within the County to live and work.

Population Growth Short Term

The Population Growth (PG) Short Term scenario utilises part of the WG 2014-based projection migration data, however it also uses the three years of data up to 2016/2017. This scenario increases the population and household change percentage from that in the 2014-based projection, but the outflow of those within the 15-19 age cohort increases. The PG short term trend increases the net migration inflow of all ages from 30+ years, but it would still see a negative population percentage change within the under 65 age cohorts.

Utilising the 2011 Census vacancy rate, this scenario would, on average deliver 484 dwellings per year within the Revised LDP period, or 470 dwellings per year under the variant vacancy rate. This equates to 7,263 dwellings and 7,044 dwellings over the revised LDP period respectively. This is notably less than that currently being built within Carmarthenshire on an annual basis. Whilst there is a net inflow in the 30 + age cohorts, the rate of growth would be slower and limit the economic potential of the authority. This reinforces some of the issues highlighted in terms of economic ambition and having balanced age cohorts within the county.

In terms of the link between population change and job creation, this scenario would support the creation of 126 additional jobs per year, but would fall short of the targets outlined in Carmarthenshire's *Strategic Regeneration Plan*.

Conclusion

Given the potential negative impacts highlighted above, it is not considered prudent to utilise the PG Short Term projection as the growth option for the Preferred Strategy. It would not deliver the Plan's Vision and Strategic Objectives.

Population Growth 10 year

The PG 10 year projection utilises the migration trend of the previous 10 years, which takes into account the first two years of the pre-recession period, but with the majority of the migration data being since 2008. This trend offers a slightly more optimistic outlook than that considered in the 10 year migration data from the WG 2014-based projection, and similar to the PG Short term Scenario. This scenario does identify the net out-migration of those in the 15-19 and 25-29 age cohorts, with comparable net in-migration in the 30+ year old cohorts.

Utilising the 2011 Census vacancy, this scenario would, on average provide 497 dwellings per annum within the revised LDP period 2018-2033, with the variant vacancy rate highlighting a provision of 482 dwellings per year. This equates to 7,461 dwellings and 7,236 dwellings over the revised LDP period respectively.

In terms of the link between population change and job creation, this scenario would support the creation of 178 jobs per year, but would fall short of the targets outlined in the Carmarthenshire's *Strategic Regeneration Plan*, and only marginally cover the job requirements set out within the Swansea Bay City Deal.

Conclusion

Whilst the delivery of 497 or 482 dwellings per year is similar to that delivered since 2007, it does not offer the flexibility to pick up on those years where housing delivery and the housing market has been more buoyant. Since 2015, housing delivery has been on average 545 dwellings per year and restricting the housing requirement through this scenario as the Preferred Strategy would limit Carmarthenshire's economic ambitions in terms of job creation and provide opportunities for younger adults within the County to live and work.

This scenario would not deliver the Plan's Vision and Strategic Objectives.

Population Growth Long Term

Under the PG Long Term scenario, higher net migration flows are estimated (averaging +1,423 people per year), resulting in population change (9.4%) and subsequent dwelling growth of 680 dwellings per year (2011 Census vacancy rate) or 659 dwellings per year (variant vacancy rate). This equates to 10,195 dwellings and 9,887 dwellings over the revised LDP period respectively.

This is higher than estimated under the PG Short Term and WG 2014-based scenarios. Whilst the PG Long Term scenario captures the significantly higher net migration flows over the 2001/02–2007/08 period in its assumptions, the notably lower net migration recorded to 2016/17 has a dampening effect on its migration assumptions.

The age cohort of net migration and population change within this scenario shows much more of a positive outlook. There is a net positive migration in all age cohorts bar the 15-19 years, however there is a decrease in the population change between 25-34 age cohort and 50-59 age cohort. The PG Long Term scenario would provide a more optimistic outlook in seeking to achieve the targets outlined in Carmarthenshire's *Strategic Regeneration Plan* with a larger population increase supporting the creation of approximately 353 additional jobs per year.

Conclusion

On balance, utilising this scenario as the Preferred Strategy would provide a positive outlook and provide an appropriate provision for housing delivery within the county. It would allow the flexibility to drive sustainable housing growth and support the economic ambitions of the county.

Whilst utilising a scenario with higher population growth will see a continuation of people aged 15-19 leaving the county, more return in the 20-24 age cohort which results in a balanced demographic outlook for the county in the future.

Using this scenario would assist in delivering the Plan's Vision and Strategic Objectives.

Population Growth Pre-Recession Scenario

The PG Pre-Recession scenario is based on internal migration rates and international migration flow assumptions for the period pre-2008 recession (2001/02–2007/08), in which higher in-migration flows to Carmarthenshire were recorded. Consequently, future

estimation of net migration is highest under the PG Pre-Recession scenario. Utilising the 2011 Census vacancy, this scenario would, on average provide 969 dwellings per annum within the revised LDP period 2018-2033, with the variant vacancy rate highlighting a provision of 939 dwellings per year. This equates to 14,529 dwellings and 14,090 dwellings over the revised LDP period respectively.

Whilst utilising a scenario with higher population growth will see a continuation of people aged 15-19 leaving the county, more return in the 20-24 age cohort which results in a balanced demographic outlook for the county. There would also be a significant population change that would see a 40% increase in the 65+ age cohort, whilst an 82% increase in the 80+ age cohort.

The PG Pre-Recession scenario would provide a positive outlook in seeking to achieve the targets outlined in Carmarthenshire's *Strategic Regeneration Plan* and the Swansea Bay City Deal, with a larger population increase supporting the creation of approximately 632 jobs per year.

Conclusion

Utilising this projection scenario as the revised LDP Preferred Strategy would be commensurate to the growth strategy within the adopted LDP. Whilst this scenario would be ambitious in driving economic aspirations, setting such a high growth requirement through the PG Pre-Recession scenario would result in an undeliverable and unsustainable growth strategy.

This scenario would not deliver the Plan's Vision and Strategic Objectives.

Employment-Led Scenarios – Commuting Ratio Fixed (CR Fixed) and Commuting Ratio Reducing (CR Reducing)

The Population and Household Forecast Paper identifies two employment-led scenarios as a basis for considering housing growth within the County. The benchmark job requirements comes from the Carmarthenshire Employment Sectoral Study which identifies that to maximise the economic ability of the county, 1,245 jobs per year would need to be created in nine priority sectors¹⁹.

¹⁹ <https://www.carmarthenshire.gov.wales/media/1212564/employment-sectoral-study-final-english-1.pdf>

In meeting the target of 1,245 jobs per year highlighted in the Employment Sectoral Study, population growth within the county would need to be sizable. The population growth within the scenarios CR Fixed and CR Reducing would need to equate to 42,050 and 36,481 persons respectively. In translating this to the number of dwellings required during the revised LDP period, this would equate 1,354 and 1,196 dwellings per year using the 2011 Census vacancy. This would equate to 20,303 and 17,938 dwellings over the revised LDP.

Using the 3.4% vacancy rate, this would equate to CR Fixed scenario highlighting 1,313 dwellings per year, or 19,690 dwellings over the revised LDP period, whilst CR Reducing scenario identifies 1,160 dwellings per year or 17,396 dwellings over the revised LDP period.

Conclusion

Utilising the employment-led scenarios as the Preferred Strategy for the revised LDP and the high growth requirement set out within it would result in an undeliverable and unsustainable growth strategy for the county. The housing growth requirement set out in the adopted LDP is 1,013 dwellings per year, and one of the reasons to undertake a LDP review was to reconsider this housing requirement as the housing growth targets were not being achieved.

Whilst these scenarios would be ambitious in driving economic aspirations, setting such a high growth requirement would result in an undeliverable and unsustainable growth strategy

This scenario would not deliver the Plan's Vision and Strategic Objectives

Identifying the Preferred Strategic Growth Option

The identification of the preferred strategic growth option has emerged from the consideration of the above population and household projections, as a consequence of pre-deposit engagement and the need to reach a balanced outcome including other strategies and plans such as, but not limited to:

- Welsh Government - Planning Policy Wales;
- The Council's Strategic Regeneration Plan 2015 – 2030 – Transformations;
- Swansea Bay City Deal;
- The Council's New Corporate Strategy 2018 – 2023;
- The Carmarthenshire Well-being Plan: the Carmarthenshire we want 2018-2033;
- The Council's Well-being Objectives;

- The Council's Affordable Housing Delivery Plan; and
- Local Housing Market Assessment²⁰, and
- The Council's Moving Forward in Carmarthenshire: the next 5 years.

Preferred Strategic Growth Option

It is proposed to use the PG Long Term scenario and utilise the alternative vacancy rate of 3.4% to underpin the future growth requirements for this revised LDP. This scenario projects an overall population increase of 17,567 (9.4%), with the requirement for 9,887 new homes over the revised LDP period 2018-2033. This equates to 659 new homes per year. This scenario will assist in the delivery of the Swansea Bay City Region Deal and the Council's Corporate Strategy, regeneration and job creation objectives.

Utilising this preferred option would positively progress the Council's ambitions in delivering affordable homes across the County.

The Preferred Strategy through this growth option will seek to support the delivery of a minimum of 5,295 additional jobs over the Plan period.

Spatial Options

The following outlines a number of possible Spatial Options which have been identified to inform the selection of our future spatial framework and how future growth may then be distributed across the County for the Plan period.

The consideration of strategic options is an important part in the preparation of the LDP is a requirement of the SA/SEA process.

Each spatial option has been subject to engagement to assess and evaluate their appropriateness with a view to establishing or developing a preferred option. Their content reflects the need to have regard to legislation, national planning policy, local and regional strategies whilst recognising the specific characteristics, assets and issues which are prevalent in Carmarthenshire and form a strategic approach which delivers on the vision and which promotes and guides development for the County.

²⁰ Regional Local Housing Market Assessment is being undertaken which will inform the revised LDP as it progresses through the preparatory process.

In developing the options regard has also been had to the Well-Being of Future Generations (Wales) Act 2015 and the wellbeing objectives developed by Carmarthenshire County Council and the Public Service Board.

It should be noted that option generation is an important requirement of the SEA directive. The strategic options have been assessed against the SA/SEA within the Initial Sustainability Appraisal – Strategic Environmental Assessment Report. This forms an important component in the process of selecting the most suitable strategic option for Carmarthenshire.

The options identified assume that housing development without employment opportunities in the same broad location, and vice versa, is less sustainable and is to be avoided. Similarly, infrastructure improvements need to be aligned with new development, including improvements to transport networks, utilities, green infrastructure, health, education and social facilities. Consequently, the term ‘development’ is used in the Spatial Options for Growth to refer to the balance of housing, employment opportunities and the accompanying infrastructure.

No single option is necessarily considered preferable in their preparation and discussion and there is scope and flexibility for the options to be adapted to take account of additional factors. It is acknowledged that the preferred option could combine elements from more than one option.

The tables below provide an explanation of each of the spatial options as considered. This is followed by an identified Preferred Spatial Option for consideration as part of this Preferred Strategy.

Option 1 – Current LDP Option

Description

Utilising the settlement hierarchy to allow for a proportional distribution of development based on sustainability principles

Spatial Expression / Settlements Affected

This Option is based on the 4 tier settlement hierarchy.

Summary Assessment

This option focusses growth proportionally across a hierarchy underpinned by the principles of sustainability. In doing so, this option:

- Encourages the dispersal of employment, housing and other types of development to identified settlements and village groups or clusters in a manner reflective of their existing scale, population and of the availability of facilities and services.
- Reflects the diversity of the County and growth is apportioned appropriately to urban and rural areas.
- Focusses the majority of employment growth in the larger towns and villages.

Positives

- Reduces the number of journeys and journey distances.
- Reflects current service provision and the availability of facilities.
- Benefits social inclusion through access to transport, services and facilities.
- Proportionate distribution of growth reflecting the current population distribution.
- Largely consistent with current and emerging national planning policies.

Negatives

- Does not sufficiently take into account market demand.
- New housing allocations previously apportioned to the second and third tiers of the settlement hierarchy have not delivered in accordance with the Plan's strategy.
- Does not fully reflect the role of settlements in their wider context.
- Places pressure on communities in those areas that have historically taken most development.
- Does not deliver flexibility and opportunities for small-scale rural development.

Conclusions

This option represents a continuation of the existing LDP strategy and as such reference is had to the results of annual monitoring and the review report. Whilst both indicate successes in the application of the strategy they also identify weaknesses in the delivery of growth in aspects of the settlement hierarchy.

It is recognised that elements of the strategy have been successful however, it is also clear that a review and revised approach may be needed to address not only its shortcomings but contextual changes.

Option 2 – Infrastructure and Transport Network Option

Description

Basing the majority of growth in the areas in the locality of the main highway and rail network and where there is infrastructure available to support the proposed development.

Spatial Expression / Settlements Affected

This Option identifies key settlements and corridors along the main transport routes and areas where there is infrastructure in place or planned to be in place to accommodate the levels of growth required.

Summary Assessment

This option looks at the existing provision of utility infrastructure and the highway network across the County and aims to focus the majority of growth in areas with the capacity for growth. This option seeks to encourage growth in the areas which it can most feasibly be accommodated by:

- Encouraging growth along the key transport routes and junctions of the M4, A40, A48, A484, A474 and A485 as well as in locations accessible to other modes of transport including the rail network, cycle network and pedestrian linkages.
- Encouraging growth in areas where there is either current or planned capacity for the supply and treatment of water and waste water.
- Encouraging growth in areas where there are sufficient services and facilities to support the communities.

Positives

- Availability of highway infrastructure
- The highway network is closely aligned with the main urban areas in the County.
- Convenient linkages to cross border settlements.
- Focusses resources and funding to specified hubs and corridors thus enabling development in these areas.
- Focusses growth in areas well-serviced by transport infrastructure thus delivering a sustainable pattern of growth.
- Focusses growth in the County's towns, market towns and larger villages as well as the previously identified growth areas.
- The availability of infrastructure provides developers with a level of certainty regarding the costs and timescales for delivering allocated sites.
- This strategy could be responsive to the changing location of healthcare provision in the County by encouraging growth in the locality of new healthcare provision.
- The availability of infrastructure will require less mitigation in terms of the impacts of development and growth.

Negatives

- May not meet the housing and employment needs of some communities as the main informant for the strategy would be infrastructure provision and capacity.
- Highway capacity issues could restrict the delivery of the strategy at the specified locations.

- May be driven and restricted by infrastructure investment rather than informing and driving the priorities for investment in infrastructure.
- May lack flexibility to deal with unforeseen highway and infrastructure capacity issues.
- Could place pressure on the natural environment, particularly in areas that have historically taken most development.
- The provision and availability of infrastructure may not align with the needs of the local communities and what the market demands.
- It may not reflect the principles of sustainability.
- It does not take account of where housing and employment opportunities are needed.
- Focus on corridors has little regard for the existing settlement pattern.
- Does not provide for growth opportunities in rural settlements.

Conclusions

This option links growth and the settlement strategy directly to the availability of infrastructure. Whilst this would restrict the potential for growth in rural areas, it is recognised that the relationship between development and appropriate infrastructure provision is a component necessary as part of any selected option.

Option 3 – Dispersal Option

Description

No rationale or structure for the distribution of growth; development would be dispersed across the County.

Spatial Expression / Settlements Affected

All settlements could be affected equally under this Option as there is no strategy to identify the distribution of growth. However, this would be likely to result in levels of growth at a fairly equal level across the County's settlements.

Summary Assessment

This option distributes housing, employment and other forms of development on a broad basis between settlements within the County, both urban and rural. It allows settlements to grow incrementally without necessarily taking account of the availability of services or facilities nor the impact which growth could have upon the existing communities and their capacity to accommodate and absorb growth.

Compared to the strategy of the current adopted LDP, this option would see a higher proportion of the County's growth being directed to the rural areas and a lower proportion to the existing urban areas.

Positives

- Relieves development pressures on urban areas by encouraging new development towards villages and rural centres.
- Growing rural settlements are better able to retain services and facilities.

- Larger scale residential developments could provide additional opportunities for affordable housing in rural areas.
- Dispersed growth allows flexibility to respond to area specific constraints by dispersing development across a larger number of locations.
- Responds to the development needs of both urban and rural communities.

Negatives

- Does not take into account the needs of areas.
- Requires the release of greenfield land.
- Growth of settlements in sensitive areas could be damaging.
- Lack of accessibility to public transport would result in an increase in number and length of car journeys.
- Requires high levels of investment in infrastructure, services and facilities.
- May contribute to social exclusion due to increased energy and travel costs.
- Does not take into account market demand
- Is unlikely to accord with the principles of sustainability and national planning policy.
- Could potentially impact upon the character and culture of rural areas.
- May impact upon service delivery through an unsustainable pattern of development.

Conclusions

This represents a largely unsustainable option and undeliverable option - and one which as a consequence would be unlikely to pass the necessary measures as part of the SA/SEA assessment process. This option does however through its broad brush approach to distribution of growth focus additional growth in rural areas.

It is recognised that the chosen preferred option will be required to have appropriate regard to rural considerations.

Option 4 – Community Led Option

Description

Development would be dispersed within community areas in a manner which reflects the role which settlements play within those areas and the wider geographical area.

Spatial Expression / Settlements Affected

The majority of the growth would be focussed in the following three areas: Carmarthen and surrounding area; Llanelli Coastal Belt; and, Ammanford / Cross Hands area.

Summary Assessment

This option focusses on the role of settlements within their wider locality and community which acknowledges the relationships and interdependency between settlements and considers how the local communities work and live.

This option will encourage growth in those areas which play a significant role in the wider community; this is most likely to be through the provision of facilities and services rather

than the existing scale of the settlement or the existing population numbers. This option would also seek to reflect the needs of the communities, including their demand for housing. This acknowledges the individual characteristics of each settlement and seeks to identify the role which settlements play within their locality and on a county-wide basis.

This option should reflect an understanding of the needs of local communities and focus growth in areas where it is needed to support communities and their aspirations for future growth and ongoing sustainability of facilities and services. This is likely to result in the allocation of smaller sites and a higher proportion of growth being directed to smaller settlements.

Positives

- Provides a balance between the contrasting urban and rural areas of the county which reflects the principles of sustainability.
- Apportioned growth would reflect the role which settlements play within their communities.
- Supports the ongoing use of community facilities and services in both rural and urban areas.
- Provides the potential to support the retention of younger people within the settlement.
- Could result in greater investment opportunities in the rural areas.
- Could allow for a flexible approach to small-scale growth in rural communities.
- Provides the potential to apportion growth in a manner which acknowledges and respects the characteristics of settlements.
- May contribute to social inclusion in rural areas through encouraging growth and investment in services and facilities, whilst reflecting, and where appropriate, enforcing the role of existing urban centres.

Negatives

- Could result in development in environmentally unsustainable locations.
- Could result in disproportionate growth in rural areas.
- Development in rural areas could generate significant car journeys which would be contrary to the principles of sustainability.
- It is unclear whether growth allocated to some settlements within rural areas, particularly the market towns, would materialise given that limited growth has successfully occurred within these areas in the past; this could compromise the delivery of the Plan.

Conclusions

This option seeks to be more responsive to individual aspects of the County and their communities. Whilst the perceived focus of growth would be in established centres it affords opportunity to reflect a wider distribution.

Feedback indicates that the option would need to be appropriately balanced to ensure growth is distributed in an appropriate and deliverable manner.

Option 5 – Swansea Bay City Region Influence Option

Description

Focusses growth to align with the areas identified for Swansea Bay City Deal projects.

Spatial Expression / Settlements Affected

The majority of the growth would be focussed in the Llanelli and Carmarthen areas with those adjoining and adjacent areas also receiving a proportion of the growth.

Summary Assessment

This option is focussed on the projects and investment planned as part of the Swansea Bay City Deal and channels growth to align with these geographical areas. The projects proposed for Carmarthenshire are:

- The Life Science and Well-being Village, Llanelli. This facility is a village providing facilities and services which promote and improve well-being. It is proposed to be a multi-faceted facility integrating business development, education, healthcare, leisure, tourism, wellness support and research in life-sciences in one location; and,
- Yr Egin, Carmarthen. This facility would be a new creative, digital and media hub to be based at the University of Wales Trinity St David

This Option is likely to see the majority of growth being focussed in Carmarthen and Llanelli and the surrounding areas, however, the settlements further away from Carmarthen and Llanelli may potentially see very little growth. It may provide opportunities for spin-off investments and entrepreneurship based activities by building on the City Deal priorities.

Positives

- Likely to result in significant job creation.
- The commitment already given to significant investment in these projects would improve the Option's deliverability.
- Development would build on, and benefit from, significant investment and resources focussed to facilitate the delivery of the Swansea Bay City Deal.
- Future employment opportunities and residential development would be well aligned which should contribute to a more sustainable pattern of development.
- Would allow for continued regard for the existing settlement pattern.

Negatives

- Potentially limited growth focussed to the north of the county.
- Constrains development outside urban centres.
- Increases the potential for the over development of urban areas resulting in concentration and 'town cramming'.
- Development needs may result in pressures on urban green spaces.
- Places additional pressures on urban public services.
- Would restrict proposals within rural areas with potential impacts on local service provision and population level.
- The areas furthest away from the project areas will be likely to depend upon broadband provision and speed in order to benefit from the investment in these areas.

Conclusions

This option embraces, and is driven by the opportunities presented through the City Deal. It focuses on the locations of the 2 main projects within Carmarthenshire and as such would be less inclusive of the remainder of the County.

It should however be recognised that reflecting the potential of the City Deal to effect real change is essential in any preferred option.

Option 6 – Market Led Option

Description

Focusses growth in the areas which have proven most popular with the housing market over recent years.

Spatial Expression / Settlements Affected

Growth would be focussed in the top tier of the adopted LDP's settlement hierarchy comprising Carmarthen, Llanelli and Ammanford / Cross Hands areas.

Summary Assessment

This option will aim to meet the aspirations and requirements of the development industry by identifying sites and areas which are the most economically attractive to develop. This option looks at the market success of settlements within the County since 2008 and apportions growth in accordance with past delivery rates.

The past delivery rates indicate that the majority of growth took place in the Llanelli area with a significant amount of development also being directed to the Carmarthen growth area and parts of the Ammanford/Cross Hands growth area.

This approach could be construed as 'planning based on numbers'. It would seek to direct growth in accordance with the highest delivery rates of the past and apply this trend to identify the location for future development. Future employment provision would reflect current take-up of employment land and would relate closely to the distribution of housing.

Positives

- A focus on delivery by market forces with minimal public sector involvement.
- New developments would be well related to the existing transport infrastructure and existing services and facilities.
- Likely to allow for financial viability and profitability.
- Provides homes in the areas which are popular with the majority and therefore would perform well in regards to the supply and demand of housing.

Negatives

- Given the proximity and accessibility of the Llanelli area to the County's boundary with Swansea County, this option could increase the supply of housing to meet demands from outside the plan area.
- Subject to market trends and influenced by economic boom and recession.
- This Option focusses growth in existing urban settlements and would be less likely to recognise the role of rural areas.
- Could contribute to congestion along the highway network in the areas identified for a higher proportion of growth, particularly in the Llanelli area.
- May not be sufficiently flexible to respond to changes in market demand, particularly in response to changes in the preferred locations.
- The spatial option would be informed by past build rates however this may not be a true reflection of what the market demands given that there could be a desire to build and live in other locations but other constraints and financial viability may impede the delivery of sites at these locations.
- Places pressure on communities in those areas that have historically taken most development.
- Places pressures on greenspaces in the areas identified to accommodate the majority of growth.

Conclusions

This option through its focus on the market would, whilst deliverable in a simplistic interpretation, be vulnerable to other considerations and constraints and would remove substantively any local influence. It is not considered a deliverable option in practicable terms but points clearly to the role of the market and development industry in contributing to a sound and deliverable plan.

The role of the market will inevitably be a contributing to the development of the preferred option.

Identifying the Preferred Spatial Option

The development of the preferred option has emerged from the consideration of the spatial options and other considerations, including but not limited to:

- the well-being objectives;
- the content of the Annual Monitoring Reports and Review Report; and,
- the engagement processes notably through the Key Stakeholder Forum.

In developing the preferred option, there was always an acceptance that there would be potential variations on the strategic options identified, including an option which would consider a mix of the positive outcomes from a number of those options. In considering the above, and having reference to the Issues, Objectives and Vision discussed earlier in the Preferred Strategy, a hybrid option emerged as the most appropriate approach in delivering a balanced and sustainable spatial strategy for all the communities across the County.

The following hybrid option has consequently emerged which reflects a number of characteristics from the identified options above. This emergence is in part, built from comments received as part of the engagement process.

Preferred Option - Balanced Community and Sustainable Growth Strategy.

This hybrid option builds on the approach highlighted through Strategic Option 4 - Community Led, but removes the prescriptive approach in assigning character areas within the County. The strategy will however retain an approach which reflects the role and function of settlements and will seek to be responsive in how it assigns growth, to urban and rural areas of the County.

- The option will recognise and reflect investment and economic benefits to the County and its communities through the City Deal, and other economic opportunities.
- It will seek to provide opportunities for rural areas ensuring the diversity of the County and communities is recognised;
- It will acknowledge that in delivering sustainable growth that it needs to be supported by the availability of a range of appropriate infrastructure;
- It will recognise that growth should be deliverable and orientated to a community's needs and market demand.

10. A New Strategy

The Strategy sets out to deliver the vision and strategic objectives and addressing the key issues identified within this Preferred Strategy. The Revised LDP will, as it progresses through to adoption, set out how the changes within Carmarthenshire over the Plan period will be managed and planned for. Through its policies and proposals, the Revised LDP will seek to provide for these changes and the respective levels of growth, and identify where such growth will be acceptable. This is achieved through identifying sites for specific land uses whilst protecting and enhancing the County's rich environmental, landscape and built historic interests. These detailed elements will be contained within the Deposit LDP.

The preparation of this Preferred Strategy has been informed by national and regional guidance with plans and strategies at all levels contributing, where appropriate to the

development of an emerging evidence and knowledge base. Engagement has also played a central role in preparing this Preferred Strategy (including issues generation and the strategic options).

A New Spatial Approach

The Revised Carmarthenshire Local Development Plan 2018 – 2033 recognises the diversity that exists within the County and the need to reflect this in its strategic approach. The Spatial Strategy identifies a settlement hierarchy but sets it within a settlement framework grouped under six clusters. These, and the distribution of growth, will focus on sustainable principles but will also recognise the respective role, function and contribution of settlements within particular clusters, whilst recognising and protecting and enhancing those valued aspects and environments. Each cluster will reflect the diversity that exists between them and their respective settlements. Growth will be distributed accordingly to identified centres whilst recognising the integral role of local growth and diversification to delivering for Carmarthenshire.

The strategic growth areas reflect the current urban form in the shape of Llanelli, Ammanford/Cross Hands and Carmarthen with their respective sustainability credentials and strong economic drivers from a market demand and delivery perspective. These three form part of the six clusters and whilst they will receive an appropriate proportion of the anticipated growth, there will be a balanced approach to distribution.

Other areas will include a focus on Local Growth and Diversification. These areas are those where growth will reflect the community, whilst understanding those wider delivery expectations associated with Plan making (e.g. national policy and guidance). Often incorporating areas which are more rural in character such areas play an integral role not only for the everyday life of their communities but are essential to a vibrant and thriving Carmarthenshire.

Regeneration and job creation are important components across the County. Allocated sites and the use of policies will provide a framework for the provision of employment and job creation opportunities. This will seek to provide a positive approach to help these areas meet their full potential and build on the opportunities within all of Carmarthenshire's communities. The Strategy is therefore firmly rooted within the "One Carmarthenshire" ethos as set out within the Vision.

The Plan will use allocations and development limits where appropriate, as well as using policies and criteria to ensure that the right development is in the right place, in addition to preventing unacceptable developments within Carmarthenshire's communities.

Across the Plan area there will be commonality of policies, however there may be specific variations to allow for a responsive policy approach.

Deliverable Growth

The new strategy seeks to provide balanced growth centred on the delivery of our communities' needs and the delivery of the region and the Council's strategic and regeneration objectives.

This LDP will provide the opportunity to deliver 9,887 homes over the Plan period. This is the equivalent of 659 homes per year from 2018 to 2033. This would allow for new homes to be provided in a sustainable manner which supports the aspirations of our communities and provides appropriate flexibility to respond to the Council's affordable housing objectives. This ambitious agenda for Carmarthenshire will allow the Plan to build upon the approximately 500 homes being provided per year under the current adopted LDP.

The new strategy ensures that sufficient opportunity exists to maximise affordable provision to support both rural and urban housing needs, whilst providing a strong basis for the provision of a deliverable market housing provision.

The new strategy provides an opportunity to balance the demographics of the County through the retention of, and migration of younger adults into the County, and address some of the issues which could be perceived from an aging population.

Such an approach will be supported through a strong economic environment with the delivery of a minimum of 5,295 jobs over the Plan period an important component. This reflects the growth and job creation objectives within the Council's Regeneration Strategy, and through the Swansea Bay City Region Deal.

Furthermore, supporting a positive approach to growth within Carmarthenshire will provide the younger demographic a further opportunity to live and work within the County.

In delivering the number of homes set above, this Preferred Strategy includes an additional flexibility as part of its supply (uplift) to ensure the delivery of sustainable growth and to overcome any potential unforeseen deliverability issues. A 6% flexibility through a further

593 homes, is included. This equates to a housing supply of 10,480 dwellings to deliver the 9,887 homes.

Sustainable Development, Well-being and Climate Change

In planning for a sustainable future for Carmarthenshire, this Preferred Strategy seeks to reflect and promote the principles of Sustainable Development (SD) and to embed the duties set through the Well-being of Future Generations Act 2015. The planning system has a long standing track record in the promotion of SD and in this respect this Preferred Strategy and the LDP as it progresses through to adoption will seek to enhance the economic, social and environmental well-being of communities. It will also as part of this agenda play its part in tackling the causes and effects of climate change reflecting the contribution of the planning system as a whole.

The LDP seek to put a policy framework in place which tackles the causes and effects of climate change within our communities through the adoption of sustainable principles and development.

The LDP will promote the principles of sustainability by:

- Protecting and enhancing biodiversity, townscapes and landscapes;
- Minimising energy demand and consumption by facilitating the delivery of carbon neutral buildings and homes, including the promotion of the efficient use of resources including directing development to previously developed land wherever possible;
- Distributing and locating development in accordance with the settlement framework with a view to reducing unwarranted reliance of the private motor car. It will promote sustainable and 'green' travel alternatives building on advances in technology and promotes accessibility to alternative means of travel;
- The promotion of sustainable waste management;
- The promotion of sustainable water management (including ensuring a sustainable supply of water resources and water quality, promoting sustainable drainage modes and addressing flooding issues). This includes reducing the vulnerability of communities by ensuring that development is not located in flood risk areas;
- Promote the enhancement of wellbeing and social inclusion by supporting healthy, accessible and cohesive communities;

- Supporting the development of a resilient economy and facilitating appropriate future growth; and,
- The promoting and safeguarding the Welsh language and culture.

A New Strategy - Key Components

The key components of strategy are as follows:

- Provide for 10,480 new homes to deliver a household requirement of 9,887 homes;
- Provide opportunities to deliver a minimum of 5,295 new jobs in the County in supporting the Regeneration and strategic economic and employment ambitions within the County and region;
- Provide sufficient employment land to support economic growth and job creation;
- Promotes a settlement framework which supports cohesion between settlements and communities;
- Distribute development in accordance with the settlement hierarchy, reflecting the sustainability and functional attributes of settlements, their services and facilities as well as their ability to accommodate growth;
- To respect and enhance the rich and diverse environmental qualities of the County;
- To reflect the needs of rural areas and the rural economy;
- Recognise the cultural and linguistic character of the County;
- Contribute to the delivery of physical and social regeneration opportunities and provides for a diverse and cohesive range of settlements and communities;
- Reflect the diversity across the County, and within its settlements and communities;
- Provide for employment both through allocated sites and through policy provisions across the County recognising the need to sustain and enhance rural economies;
- Focus retail change in established centres whilst providing opportunities for provision throughout the hierarchy in a way which will assist in improving accessibility to services and facilities and help in achieving viable, self-supporting settlements and sustainable communities;
- Recognise the contribution of 'previously developed land' and utilises it as appropriate whilst recognising the County's largely rural context;
- To provide opportunities to cater for the County's visitor economy;
- Protect and enhances the natural, historic and built conservation qualities of Carmarthenshire and its high value landscapes; and,
- Contribute to an integrated transport network both within the County and region.
Seeks to make efficient use of the existing road and rail network by reflecting that the

public transport network can afford the opportunity for consolidation and improvement of service thus maintaining and improving accessibility. Promote opportunities to use and access alternative means of transport including walking and cycling.

(Insert key Diagram)

11. Strategic Policies

The following sections set out the Strategic Policies which form the framework for implementing and delivering the LDP. The format and structure reflects the core elements of sustainability and sustainable development, and the four well-being objectives or themes as identified within the Carmarthenshire Well-being Plan. This allows the Strategic Policies to cross reference to the strategic objectives set out in this document as well as the relevant Well-being goals. The strategic policies will therefore be set within the following themes:

- Early Intervention - To make sure that people have the right help at the right time; as and when they need it
- Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
- Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment.
- Strong Connections - Strongly connected people, places and organisations that are able to adapt to change

It is recognised that there will be some overlap between the respective themes and the policies and as such they should be read in conjunction with one another. Each strategic policy is accompanied by an explanatory text.

Early Intervention - To make sure that people have the right help at the right time; as and when they need it

The implications for the well-being of individuals, their families and communities is recognised within this Preferred Strategy through a focus on creating sustainable and inclusive places. This as part of a connected approach across all the themes allows long term solutions to ensure opportunities are available to maintain and enhance well-being.

It recognises that sustainable places are created from a balance of environmentally friendly, economically vibrant, and socially inclusive characteristics, that aim to benefit not only current inhabitants but also future generations.

Whilst it is recognised that there is an overlap between the themes and the assignment of policies the following having been identified under this theme:

- Strategic Policy – SP 1: Strategic Growth
- Strategic Policy – SP 2: Retail and Town Centres

It should be noted that specific policies will be developed as part of the Deposit LDP and will as appropriate be identified within the context of the relevant theme.

The following policies seek to support the delivery of the Plan's strategic objectives, but also provide high level links and broad conformity with the Well-Being Goals.

Strategic Policy – SP 1: Strategic Growth

The LDP will provide for the future growth of the economy and housing requirement through the provision of following:

- a) **10,480 new homes to meet the identified housing requirement of 9,887.**
- b) **A minimum of 5,295 new jobs**

The focus on regeneration and growth reflects the Councils core strategic ambitions with development distributed in a sustainable manner consistent with the spatial strategy and settlement hierarchy.

This Preferred Strategy puts at its heart the creation of a balanced and cohesive County. It recognises that to deliver this the County's role as a strong and economic driver for growth both locally and regionally, and that this places Carmarthenshire at the centre of a prosperous and sustainable Wales.

The strategy builds on the corporate emphasis on regeneration and the opportunities presented through the City Deal, whilst also recognising the opportunities presented through the rural economy and diverse needs of communities across the County. The strategy therefore, whilst not entirely employment led, has a strong recognition of the role employment plays in creating a prosperous County - with appropriate growth of housing with jobs and employment opportunities.

The Council, as part of its corporate policy, placed regeneration as its number one objective. This is reflected through:

- The Swansea Bay City Deal;
- Transformations – Carmarthenshire Regeneration Plan; and
- Moving Forward in Carmarthenshire: The Council's New Corporate Strategy 2018 – 2033.

This focus on job creation and investment is based on Carmarthenshire's strategic location and its regional economic role. This draft preferred strategy therefore seeks to recognise and reflect this, and the corporate objectives, in supporting and creating an attractive place to workers and investors.

The level of job growth and its relationship to the housing requirement in the Plan is recognised in developing this Draft Preferred Strategy. Ensuring that our housing growth requirements are reflective of, and in support of, our economic ambitions allows for a co-ordinated and integrated approach ensuring that the shared role that economic growth is not in isolation of housing and vice a versa.

This approach requires the development of a balanced set of population and household projections that challenge the Welsh Government 2014-based projections. This is to ensure there is a sufficient supply of homes to support the delivery of our economic ambitions and the needs of our communities.

The population and household trends, set through the Welsh Government's 2014-based projections, have been derived from demographic patterns during a recessionary period. We feel that they do not reflect the positive ambitions of the County and the region over the plan period (or the rates of housing completions over the preceding years).

This draft strategy and its growth levels are intended to be ambitious but deliverable, and reflect wider objectives that this LDP alone.

This draft Preferred Strategy will seek to distribute growth through a sustainable settlement hierarchy derived from the preferred spatial option. This recognises the role Carmarthenshire's rural areas as well as urban and their contribution in delivering this strategy and its vision for 'One Carmarthenshire'.

We will work closely with partners, infrastructure providers, developers and investors, and communities in delivering the LDP, its strategy, policies and proposals.

Strategic Policy – SP 2: Retail and Town Centres

Proposals for retail development will be considered in accordance with the following retail hierarchy.

Proposals will be permitted where they maintain and enhance the vibrancy, viability and attractiveness of our retail centres. They should protect and promote the viability and vitality of the defined retail centres, supporting the appropriate delivery of retail provision (comparison and convenience), leisure, entertainment, office and cultural facilities.

Proposals for small local convenience shopping facilities in rural and urban areas where they accord with the settlement framework will be supported.

Retail provision within the County as identified through the retail hierarchy below reflects the role such centres play in providing essential goods and services which are readily accessible to residents, preferably by a choice of means of transport, whilst also providing the opportunity to access a wide range of other, non-essential goods and services within reasonable distances.

This recognises the general pattern of provision in a traditional hierarchy of centres ranging from the small localised provision through to the larger centres and providing a greater choice over a wider product range. The larger centres also act as locations for related activities in the leisure and entertainment sphere including cinemas and restaurants etc. and for commercial office uses including solicitors, accountants and estate agents etc.

In general, local provision represents goods and services required on a day-to-day basis (convenience items) and for which residents may make short journeys frequently, whilst the larger centres not only provide such facilities but also more specialised items (comparison

goods) sought less frequently and for which shoppers are prepared to travel further. Traditionally, shopping provision has evolved in a hierarchy of centres with overlapping catchments reflecting their size and importance.

It is this pattern of retail provision which characterises Carmarthenshire with the larger centres of Carmarthen, Llanelli and Ammanford serving extensive catchment areas with a broad and specialised range of goods and items. The smaller towns or market towns of, for example, Newcastle Emlyn, Llandeilo and St Clears with their smaller more localised catchments typically meet local needs with some specialised provision. This is supplemented by often larger villages which may provide essential items required to meet day to day needs.

As in many areas out-of-centre shopping with large retail warehouses (including bulky goods) has participated in changing retail trends and have in certain instances challenged the vibrancy and role of existing and established town centres. Whilst these challenges are recognised it is also noted that they can present opportunities in broadening the retail offer. The retail strategy of the LDP reflects the social, economic and environmental principles of sustainable development which underpins the Plan. It also seeks to reflect the changing nature of retailing and the need for traditional town centres to adapt to such changes. The Strategy seeks to:

- a. Protect and enhance the roles of the principal centres of Carmarthen, Llanelli and Ammanford in serving wide catchment areas for comparison shopping (clothing, footwear, electrical etc.) and specialised items to ensure their continued attractiveness as town centre and shopping destinations. The challenge will be to maintain their competitiveness and market share whilst understanding the needs of each centre and their respective role and contribution in retail terms;
- b. In other, smaller centres, ensure that local communities have reasonable access to a satisfactory range of high street facilities and services particularly convenience goods (food and other essential day-to-day requirements); and,
- c. In the larger villages, maintain the viability of the village shop and other local facilities.

The Updated Retail Study (2015) for Carmarthenshire examined retail issues across the County and assessed the capacity for growth across the retail sectors and was prepared to provide evidence in respect of policy formulation and in guiding decision making

PPW requires us to identify a retail hierarchy for the Plan area. Consequently, the “town centres first” principle in tandem with a sequential approach to the selection of sites will be used to promote town centres as the principal locations for new retail, office, leisure and health facilities. In doing so the aim will be to create more reasons why people should visit such centres with a resultant increase in social and economic activity thereby retaining its viability. The Retail Hierarchy is set out in the table below and comprises three tiers. The upper tier comprises the traditional Town Centres where there is a recognisable town centre and a wide range of uses such as retail, leisure, office, cultural and transport facilities. The middle tier comprises of a number of those settlements classified as Service Centres. Such centres include smaller retail centres and distinct groupings of retail and other uses. The Deposit LDP will identify town centres in both these tiers with further specific policies in respect of retail activity within the Principal Centres. The lowest tier is that of Local Centres which range from small shopping parades in often largely residential areas to loose clusters of retail and other uses in settlement or village centres.

Principal Centres:		
Carmarthen	Llanelli	Ammanford
Service Centres:		
Burry Port	Llandeilo	Llandovery
Newcastle Emlyn	St Clears	Whitland
Local Provision (Service Centres):		
Llanybydder	Kidwelly	Glanamman/Garnant
Trimsaran	Pontyberem	Pontyates
Brynamman	Laugharne	Llangadog
Ferryside	Hendy	

The Plan recognises that certain types of retail and leisure facilities cannot be suitably accommodated within town centre locations and that Regional Centres (Retail Parks) can play a role in accommodating this need. However, the sequential approach should be adopted which means that first preference should be for existing town centre locations as listed in the retail hierarchy, and then for sites immediately adjoining town centres. If there are no suitable available sites in these locations, only then may development in the following existing regional centres (retail parks) be considered. This approach reflects the guidance set out within TAN4 Retail and Commercial Development which also states that ‘*Out of*

centre retail parks whose development has been based solely on retailing should not normally be included in the local hierarchy’:

Regional Centres: (Retail Parks)

- Stephens Way, Carmarthen;
- Parc Pensarn, Carmarthen;
- Parc Trostre;
- Parc Pemberton, Llanelli;
- Cross Hands Retail Park.

We recognise that the role of town centres and traditional retail patterns is changing, as such both town centre and primary and secondary retail boundaries as identified previously will be reviewed and where appropriate revised. This recognition of the changing retail pattern and the potential for flexibility in maintaining occupancy and footfall, as part of the creation of vibrant and living environments.

Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.

The recognition of the issues (including poverty and deprivation) facing both rural and urban parts of our County within this Preferred Strategy is implicit as part of its “One Carmarthenshire” ethos. To this end, this Preferred Strategy seeks to tackle these issues by maximising opportunities for everyone to maintain and/or increase their sense of wellbeing.

These opportunities include the provision for new homes (including affordable homes) and jobs, as well as steering new investment and infrastructural priorities – whilst also respecting the County’s social fabric (including the Welsh language) and its sense of place.

Whilst it is recognised that there is an overlap between the themes and the assignment of policies the following having been identified under this theme:

- Strategic Policy – SP 3: Providing New Homes
- Strategic Policy – SP 4: Affordable Homes
- Strategic Policy – SP 5: Strategic Sites
- Strategic Policy – SP 6: Employment and the Economy
- Strategic Policy – SP 7: Welsh Language and Culture
- Strategic Policy – SP 8: Infrastructure
- Strategic Policy – SP 9: Gypsy and Traveller Provision
- Strategic Policy – SP 10: The Visitor Economy
- Strategic Policy – SP 11: Placemaking, Sustainability and High Quality Design

It should be noted that specific policies will be developed as part of the Deposit LDP and will as appropriate be identified within the context of the relevant theme.

The following policies seek to support the delivery of the Plan’s strategic objectives, but also provide high level links and broad conformity with the Well-Being Goals.

Strategic Policy – SP 3: Providing New Homes

In order to ensure the overall housing requirement of 9,887 homes for the plan period 2018-2033 is met, provision is made for 10,480 new homes in accordance with the settlement framework.

It is a fundamental aim of the Plan to facilitate the delivery of the required number and range of quality new homes, which will meet the identified housing needs of our future generations.

The housing requirement figure for the County is based on the Population Growth (PG) - Long Term projections scenario. This scenario projects a housing requirement which would support the economic ambitions of the County through supporting job creation, and re-address the imbalance of an ageing population within Carmarthenshire. The rationale for using this preferred growth option also considers the past build rates within the County over the previous 10 years and allows an ambitious, yet sound basis, on which to deliver the Council's overall strategic aims.

This Draft Preferred Strategy factors in a number of various contributors to meet this housing need, together with a flexibility (uplift) to ensure that the overall aim of the strategic policy to provide new homes is met. The housing supply is made up of the following elements: ²¹

Housing Allocations (over 5 homes)	xxxxxx
Windfall and Regeneration Allowance	xxxxxx
Small Site Component (less than 5 homes)	xxxxxx
Windfall Component (5+ Homes)	xxxxxx
Flexibility (6%)	xxxxxx

Housing Allocations

A key source in meeting the identified housing land requirement is through sites allocated for residential development within the LDP. These housing allocations will be identified within the specific housing policies, or included as part of mixed use allocations.

The specific policies will consider the developments which have been commenced / committed since the base date of the revised LDP, and they will be monitored through the work undertaken as part of the Joint Housing Land Availability (JHLA) Study.

²¹ The table will be populated as part of the preparation of the Deposit LDP.

Windfall

The windfall allowance is made up of the below two factors:

- The first relates to the potential contributions of sites of less than five dwellings (small sites) within the defined settlements.
- Secondly, there will be a windfall allowance through sites of five or more dwellings which have traditionally made an important contribution to housing delivery within Carmarthenshire. Existing windfall sites which make a contribution in the adopted LDP may be considered as housing allocations within the revised LDP, provided that the homes are completed after the base date of the revised LDP, and that evidence is provided to show its potential deliverability.

Strategic Policy – SP 4: Affordable Homes

The Plan will maximise the delivery of affordable homes up to 2033 through the provision of XXXX affordable homes.²²

Affordable housing represents a key issue to be considered in the preparation of the Revised LDP particularly in contributing to the development of sustainable and balanced communities.

This policy seeks to reflect the requirements set out in TAN 2 – Planning and Affordable Housing which seeks to put mechanisms in place to ensure that affordable housing is accessible to those who cannot afford market housing, both on first occupation and for subsequent occupiers.

In assessing the need for affordable dwellings appropriate regard will be had to the most up to date Carmarthenshire Local Housing Market Assessment (LHMA). However, whilst the LHMA identifies the level of housing need, it is not expected that the planning system alone will, or should provide for this shortfall.

The Plan will also take into account the Council's Affordable Housing Delivery Plan 2016-2020 which sets out a five year vision for delivering affordable housing, with the initial

²² The level of affordable housing provided will be populated as part of the preparation of the Deposit LDP.

programme set to deliver over 1,000 additional affordable homes over its five year period. The revised LDP and the planning system will make a significant contribution to this target through various affordable housing mechanisms, in addition to mechanisms through other policies and strategies. The LDP can support the aims of achieving this target through:

- On-site provision of affordable housing as a percentage of the overall development, or on sites acquired by social housing providers;
- Commuted sum contributions to support the delivery of affordable housing; and
- Local Need housing.

The location of affordable homes should be related to identified need and be in accordance with the Plan's Spatial Strategy. Proposals should address locational considerations including safe and convenient accessibility to open space, education, employment and other services.

Strategic Policy – SP 5: Strategic Sites

In reflecting their contribution to the future growth requirements for Carmarthenshire and as key components of the Swansea Bay City deal, two Strategic Sites have been identified as making an important contribution to the overall provision for growth during the Plan period:

- **The Llanelli Life Science and Well-being Village; and**
- **Yr Egin – Creative Digital Cluster**

Llanelli Life Science and Well-being Village

The Life Science and Well-being Village will create a physical village providing facilities and services which promote and improve well-being, integrate business development, education, healthcare, leisure, tourism, wellness support and research in life-sciences in one location and deliver transformational social and economic benefits.

The village will include an institute of life science providing space for research and development into new medical devices and healthcare technologies. The institute will also offer large office, laboratory and clinical space for growing and new regional companies as well as opportunities for business start-ups.

There will be a wellness hub which will include a leisure centre, outdoor sports facilities, recreation opportunities and well-being promotion activities. There will be assisted living, a care home and dedicated housing for people with cognitive impairment or in medical rehabilitation.

There will be a life science and well-being centre where a range of wellness services from health, public, private and third sectors will be available in one location. The centre

will also include training opportunities which will be developed to meet skills shortages. There will be relaxation opportunities to improve wellness²³

This 'world class' village will be situated along the Llanelli coastline. It will be the largest ever regeneration project in South West Wales, and aims to improve the health and wellbeing of people across the region, creating up to 2000 high quality, well paid jobs and boosting the economy by a staggering £467 million over 15 years. It will be interlinked and integrated within the natural landscape, set around a freshwater lake and located within walking distance of the Millennium Coastal Park.²⁴

The outstanding coastal setting in post-industrial South Llanelli is testimony to a long standing track record regeneration initiatives by the Council and its partners, including Welsh Government.

In noting the strategic context, this project remains firmly rooted in the promotion of wellness at a local level. The opportunity to increase in wellbeing within those current and future generations residing in the nearby communities, as well enable the delivery of a renowned physical development, are fully in keeping with the Strategy of the Revised LDP.

Yr Egin – Creative Digital Cluster

The Egin project will create a new digital and creative cluster in Carmarthen, provide start up and development space for creative and digital companies and promote the Welsh Language.

The project will build a new creative, digital and media hub on the University of Wales Trinity Saint David's (UWTSD) Campus in Carmarthen. It will be the base for the Welsh language broadcaster S4C and will provide start up and development space for creative and digital companies.

The facility will create a cluster of businesses in the creative and digital industry, encouraging collaboration, providing common facilities and generating opportunities for shared learning.

By taking advantage of the new infrastructure proposals of the Internet Coast, Yr Egin will create major and positive change in the creative and digital economy of Wales.²⁵

The opportunities afforded by this project are many and varied. In spatial terms, it is envisaged that it will re affirm the role of Carmarthen as a key hub on the gateway to West Wales and a focal point for those rural communities to the north.

²³ <http://www.swanseabaycitydeal.wales/life-science-and-well-being/life-science-and-well-being-village/>

²⁴ <https://www.carmarthenshire.gov.wales/home/business/development-investment/delta-lakes/#.W5kToOmQy70>

²⁵ <http://www.swanseabaycitydeal.wales/economic-acceleration/yr-egin-creative-digital-cluster/>

Strategic Policy – SP 6: Employment and the Economy

Sufficient and appropriate land will be allocated for the provision of employment opportunities for the Plan period (figure to be quantified) in accordance with the Plan's Spatial Strategy / Settlement Framework.

The future development of employment sites, and indeed the future economic development of the County, should be viewed in the wider context. The Swansea Bay City Deal was signed in 2017, securing £1.3 billion for Swansea, Carmarthenshire, Neath Port Talbot and Pembrokeshire councils. It is anticipated that the Deal will transform the economic landscape of the area, boost the local economy by £1.8 billion, and generate almost 10,000 new jobs over the next 15 years.

The Deal will see three specific projects for Carmarthenshire – a Wellness and Life Science Village at Delta Lakes, Llanelli; a creative industry project at Yr Egin in Carmarthen; and a skills and talent initiative which will support skills development.

The Council commissioned an Employment Sectoral Study (ESS) in 2016, the focus of which, in respect of the LDP, was on providing an understanding of future employment need in respect of the nine priority sectors identified by the Welsh Government. In so doing the study sought to review employment land provision and job figures and to subsequently provide a figure for the amount of employment land that would be required for the Revised LDP period.

The ESS calculated that up to 127ha of employment land would be required to be delivered in Carmarthenshire by 2032 in order to accommodate the forecasted employment need of 18,681 new jobs. The database (and forecasting model) for the ESS was developed with the functionality to test a number of different scenarios. Subsequent work on population growth models undertaken as part of the spatial strategy for the Revised LDP estimates that a smaller number of new jobs would be required over the Plan period and that consequently less land needed for employment purposes.

So whilst the 127ha figure is therefore aspirational, it nevertheless recognises that the distribution of employment opportunities throughout the County is crucial in supporting the aims and objectives of the economic aspirations of the County as set out within *Transformations – a Strategic Regeneration Plan for Carmarthenshire 2015-2030*.

Whilst the Study emphasises the new strategic focus associated with the new Swansea Bay City Deal, new sites located outside of the highest tiers of the hierarchy can make a significant contribution to the settlements and communities they serve, especially in rural areas where opportunities for new businesses to establish or existing businesses to expand would be severely constrained in the absence of appropriate sites and premises.

With respect to sectoral employment, the sectors identified are the nine 'priority sectors' identified by the Welsh Government. However, as well as the headline numbers of jobs in each sector, it is also important to acknowledge that certain sectors will be generating significant number of 'valued added' jobs in the priority sectors. This is particularly the case for the estimated 2,500 Life Science jobs as these are likely to generate significant amounts of additional economic wealth locally compared to jobs in more traditional sectors such as construction.

In order to meet this potential, a range and choice of sites would be required, with a larger proportion of land being allocated in the larger centres, but also extending into rural areas in order to sustain these areas through helping to create self-supporting and viable communities and settlements.

Consequently, the LDP will provide a range of sites for potential inward investment and relocations through the employment land allocations. These will provide an appropriate range and choice to meet the needs of a variety of potential employers. This includes potential sites for larger employers as well as sites to accommodate smaller scale uses with the policy framework also providing scope for new and start-up businesses.

It should be noted that allocated employment sites, and thus the total land provision, includes non-operational land with scope for landscaping, buffer zones and other such uses.

Strategic Policy – SP 7: Welsh Language and Culture

The Plan supports development proposals which safeguard and promote the interests of the Welsh language and culture in the County. Development proposals which have a detrimental impact on the vitality and viability of the Welsh language and culture will not be permitted unless the impact can be mitigated.

The Welsh language and culture play an important role in the social, cultural and economic life of Carmarthenshire's residents and visitors. The proportion of Welsh speakers in Carmarthenshire is significantly higher than the Welsh national average and as such is a significant part of the social fabric of the County's communities, providing a strong sense of place and identity.

The Plan seeks to 'promote the Welsh language and culture'²⁶ and is committed to contributing to the Welsh Government's long-term aim of achieving 1 million Welsh speakers by 2050²⁷. To deliver on this aim, the Council will support and promote the Welsh language by ensuring that there are sufficient and proportionate employment and housing opportunities to sustain both the rural and urban communities in the County. In doing so, the Plan seeks to ensure that the local population remain in Carmarthenshire rather than leave in search of work opportunities and housing.

The need to safeguard and promote the Welsh language applies to developments proposed across the County and is not restricted to specific areas within the County. Development proposals will be required to acknowledge the official status of the Welsh language and commit to treating the Welsh and English languages equally.

Specific policies will provide further guidance to ensure that development of an appropriate scale, type and character is delivered to meet the needs of the communities. Furthermore, it will aim to ensure that development occurs at a rate which can be absorbed and assimilated without damaging the character of the community.

The Plan also seeks to safeguard and promote the Welsh language in Carmarthenshire through other relevant policy objectives, namely through the provision of housing and affordable housing, promoting a vibrant economy and employment opportunities and the provision and retention of community facilities.

Strategic Policy – SP 8: Infrastructure

Development will need to be directed to locations where the infrastructure, services and facilities considered necessary to deliver and support the development proposal are available.

²⁶ Carmarthenshire's Wellbeing Objectives 2018-18

²⁷ Cymraeg 2050 A Million Welsh Speakers, Welsh Government (2017)

Development proposals will need to demonstrate that there is sufficient capacity in the existing infrastructure to deliver and support the proposed development. Where this cannot be achieved, proposals will need to demonstrate that suitable arrangements are in place to provide the infrastructure capacity considered necessary to deliver and support the development.

Planning obligations may be sought to ensure that the infrastructure, services and facilities needed to deliver and support the development are delivered.

The provision of appropriate infrastructure, services and facilities is vital to ensure the delivery of the Plan's policies and proposals. Appropriate infrastructure is key to facilitate development but is also a necessity to support the ongoing needs and demands of a development and Carmarthenshire's communities.

The infrastructural requirements of developments will vary greatly according to their location, existing infrastructure provision, scale and type. In considering the needs of development proposals the following infrastructure, services and facilities may be required:

- Roads and other transport facilities including sustainable transport;
- Schools and other educational facilities;
- Affordable Housing;
- Health;
- Public open spaces and green infrastructure;
- Flood defences;
- Leisure, sporting and recreation;
- Utility services;
- Biodiversity and environmental protection;
- Community facilities;
- Other facilities and services considered necessary

The requirements of planning obligations will take into consideration the financial viability of a proposed development. In instances where there is dispute regarding the impact which the requirements have upon the financial viability of the scheme, the applicant will be required to meet the costs of securing an independent viability appraisal, completed by a suitably qualified and approved third party.

The Plan seeks to ensure that the infrastructure, services and facilities needed to support development is delivered in a timely manner prior to, or upon commencement, of the development, or where appropriate phased through the development process. The Plan

encourages the delivery of infrastructure is undertaken in a coordinated manner with minimal disruption caused to existing communities.

Contributions to infrastructure will be secured through Planning Obligations in accordance with the legislative and policy framework provided.²⁸

Strategic Policy – SP 9: Gypsy and Traveller Provision

Land will be allocated within the Llanelli area to meet the identified need for Gypsy and Traveller Accommodation and to allow for the potential future expansion of Gypsy and Traveller Households.

To consider the future Gypsy and Traveller provision within Carmarthenshire, the County Council has undertaken and published a Gypsy Traveller Accommodation Needs Assessment (GTAA) which identifies the current unmet need for Gypsy and Traveller pitches within the County. The Assessment considered the methodology set out by Welsh Government Guidance and outlines two types of the assessment of need; the first considers the first 5 years of the GTAA period; and the second considers the full 15 year GTAA period.

Based on this assessment, Carmarthenshire's estimated provision for the first 5 years is for 29 additional pitches. A large proportion of this need has arisen from households living in bricks and mortar, and new household growth from within these households. The make-up of this need is located within Llanelli, where a large number of these households had previously lived on the public site at Penybryn.

An estimate has also been made for newly arising Gypsy and Traveller households in years 6-15 of the GTAA. This would include, for example, young adults living on existing sites who, in time, will form their own household and therefore would require their own pitch. The GTAA estimates a need for a 10 further pitches in years 6-15, totalling a requirement of 39 pitches through to 2031.

²⁸ Community Infrastructure Levy Regulations 2010 (as amended); Planning Policy Wales; Welsh Office Circular 13/97 Planning Obligations

Further evidence will be provided which will consider the pitch requirement for the last 2 years of the Plan period.

In accordance with the Housing (Wales) Act 2014, the Council must undertake a new GTAA every five years. The requirement and take-up of pitches will be closely monitored through the Annual Monitoring Report and the requirement for additional pitches will be reviewed in the latter part of the Plan period through the monitoring framework.

Specific criteria based policies to support the development of Gypsy and Traveller Accommodation will be considered within the Deposit LDP.

Strategic Policy – SP 10: The Visitor Economy

Proposals for tourism related developments will be supported where they:

- (a) add value to our visitor economy; and,**
- (b) preserve our social, economic and environmental fabric for future generations; and,**
- (c) are sustainably located.**

Tourism is a key component of Carmarthenshire's economy. It is a major source of employment and revenue supporting over 6,000 full time equivalent jobs either directly or indirectly. It generates over £434m revenue to the County's economy annually (STEAM Trend Report 2017).²⁹

The County is home to a wide range of attractions, including Ffos Las Racecourse, the National Botanic Gardens and Pembrey Country Park. Carmarthenshire is the "cycling hub of Wales", with the Cycling Strategy capturing the Council's aspirations to be a national lead in the provision of cycling infrastructure events and development.³⁰

Tourism is a dynamic industry with a wide demographic / customer base. Carmarthenshire is well poised to capitalise on the sector's potential given that it is a beautiful county located within a four hour drive of London and within easy reach of Ireland via sea. The ever

²⁹ <https://www.carmarthenshire.gov.wales/home/business/tourism/statistics-and-trends/#.W59p--mQy70>

³⁰ <https://www.carmarthenshire.gov.wales/home/business/tourism/tourism-priorities/cycling/#.W59p3umQy70>

changing demands and trends within the sector do however provide challenges in terms of drafting 15 year land use planning policies.

This strategic policy sets the framework for a policy approach within the Revised LDP that is sufficiently responsive and flexible to market demand up to 2033, whilst also seeking to protect the very communities, landscape and townscape that makes Carmarthenshire a fantastic place to visit and enjoy. Whilst the strategic policy provides the overarching context, it will be for the specific policies to provide the detail. This would include clarifying any role that the settlement limits of defined settlements play in informing the determination of proposals.

In interpreting this policy, it should be noted that tourism related developments includes new, as well as extensions to existing facilities. Extensions to existing facilities should be subordinate in scale and function to the existing facility and proposals that constitute substantive extensions should be construed as new development.

Adding Value

Proposals can add value to the County's visitor economy by contributing to the creation of a diverse, high quality, all year round destination and accommodation offer. Economic benefits could range from an increase in visitor numbers and visitor days to job creation, contributing to a wider mix of accommodation and attraction types – as well as extending the tourism season beyond the summer months. There are opportunities for proponents to seek to align to and support those emerging corporate priorities, including the Council's cycling aspirations. It is accepted that added value will be commensurate with the scale and nature of the proposal.

Respecting the County's social, economic and environmental fabric

A "One Carmarthenshire" approach underpins this policy. All parts of the County possess qualities that contribute to the overall sense of place. These include landscape, nature conservation, social fabric and built environment. These are assets which must be protected for our future generations and cannot be unduly compromised by tourism related development.

There should also be an emphasis on high quality in all aspects of proposals, particularly design. In considering the acceptability of proposals, consideration will be given to location, siting, design and scale, access to the primary and core highway network and the impact of

any resultant in traffic generation. Furthermore, the extent to which the site is serviceable by public transport, walking and cycling are important considerations. The scale, size and type of any proposals will be appraised along with siting and impact. Proposals should reflect the character and appearance of the area with appropriate landscaping and screening utilised as required.

Sustainably located

Tourism related development should be directed to sustainable locations. Regard should be had to the LDP spatial strategy in determining the appropriateness of any location. In this respect the scale and nature of the proposal will be important considerations, as will its siting, appropriateness and its spatial context. The specific policies will provide further more specific guidance on the implementation of this spatially driven approach.

Tourism related proposals should reflect the character of the area and the impacts on the vicinity of the site as part of a place making approach. A recognition of the sense of place within the vicinity of the proposal should be implicit within the context of the cluster based approach which groups the settlement framework.

In spatial terms, this would indicate that those larger scale high trip generating tourism proposals lend themselves to being situated in the south of the County where the infrastructure is in place to support them.

In noting the established primarily coastal offer that characterises the south west of the County, due regard will need to be given to any landscape impact arising from any potential for an over intensification of uses.

The County's rural areas are well placed to accommodate proposals for high quality and sustainable proposals that are of an appropriate scale. Proposals should respect the County's assets whilst supporting vibrant rural communities.

Some tourism related developments, by their very nature, must be located in the countryside. It is important that these developments do not have any significant negative impact on the landscape, natural environment or amenity.

Strategic Policy – SP 11: Placemaking, Sustainability and High Quality Design

In order to facilitate sustainable development, new development should acknowledge local distinctiveness and sense of place, and be designed to high standards that are adaptable to climate change.

In order to achieve this, all development should:

- a) Contribute towards the creation of attractive, safe places and public spaces, which enhance the well-being of communities, including safeguarding amenity, landscaping, the public realm and the provision of open space and recreation;**
- b) Retain and where appropriate incorporate new green infrastructure which encourages opportunities to enhance biodiversity and ecological connectivity;**
- c) Be adaptable to climate change and utilise materials and resources appropriate to the area within which it is located;**
- d) Exhibit and demonstrate a clear understanding of the existing natural and built heritage, local character and sense of place;**
- e) Be accessible and integrated allowing permeability and ease of movement;**
- f) Have regard to the generation, treatment and disposal of waste;**
- g) Manage water sustainably, including incorporating sustainable urban drainage systems (SuDS) into development proposals where feasible.**

Planning Policy Wales sets out the land use planning policies of the Welsh Government (WG). Its central objective is to promote and provide a framework for sustainable development within Wales. One of the key factors in achieving this is the promotion of sustainability through good design.

The WG is committed to promoting more sustainable forms of development, and their sustainable development scheme, One Wales: One Planet, (2009) sets out their approach to sustainable development. Through the planning system in Wales, good design can be used to play a major role in delivering sustainable forms of development and PPW and TAN 12: Design provide guidance on how the planning system in Wales can achieve this.

Achieving good design and creating an effective sense of place requires an understanding of the relationship between all elements of the natural and built environment. Design is a fundamental component in creating sustainable development, which is itself at the forefront of the Well-being of Future Generations Act 2015.

The Act means that public bodies such as local authorities must work to ensure that developments should acknowledge and seek to improve the economic, social, environmental and cultural well-being of an area.

There are environmental, social, as well as economic benefits to creating a well-designed development. Designing a high quality environment is an essential ingredient to achieving economic prosperity as it will be more attractive to potential investors as well as being more appealing to customers, key workers and tourists. Similarly, better designed buildings and places for work will result in more productive employees. At the same time, well-designed neighbourhoods will create happier and healthier communities that will be more committed to the maintenance of their surroundings. The environmental benefits might include less pollution through the reduction in traffic, the protection or enhancement of biodiversity, and the conservation of the built heritage. All these benefits are central to achieving sustainable development and to the long term economic prosperity of an area.

This policy is intended to ensure that development proposals can achieve positive economic, social, environmental and cultural outcomes, and can minimise adverse ones. It will, along with the more detailed policies to be developed in the Deposit LDP, form the basis of all planning decisions, and indicators will be developed as part of the Plan's monitoring framework to show the effectiveness of the policies.

Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment.

The well-being implications arising from health conditions and varying life expectancy are recognised within this Preferred Strategy through its emphasis on protecting and enhancing the County's built & historic as well as natural environment.

The Preferred Strategy embraces the wellbeing potential afforded by our natural environment and access to our green spaces, particularly if this is done in a connected way. It is also noted that such spaces provide an opportunity to soften the impact of our changing climate.

Whilst it is recognised that there is an overlap between the themes and the assignment of policies the following having been identified under this theme:

- Strategic Policy – SP 12: Rural Development
- Strategic Policy – SP 13: Protection and Enhancement of the Natural Environment
- Strategic Policy – SP 14: Protection and Enhancement of the Built and Historic Environment

It should be noted that specific policies will be developed as part of the Deposit LDP and will as appropriate be identified within the context of the relevant theme.

The following policies seek to support the delivery of the Plan's strategic objectives, but also provide high level links and broad conformity with the Well-Being Goals.

Strategic Policy – SP 12: Rural Development

The Plan supports development proposals which will contribute towards the sustainability of the County's rural communities. Development proposals in rural areas should demonstrate that they support the role of the rural settlements in the settlement hierarchy to meet the housing, employment and social needs of Carmarthenshire's rural communities.

The rural settlements of the County have an important role to play in improving the sustainability of the wider geographical area in which they are located as well as the County's overall sustainability. The Plan's strategy and settlement hierarchy reflects the

significant role which the rural communities play through supporting growth of a proportionate scale which can make a positive contribution towards the long-term sustainability of the rural economy and rural communities.

Proportionate and sensitive development can provide the level of growth required to retain and enhance the services and facilities provided in the County's rural settlements. It can also serve to safeguard and promote the Welsh language in rural areas and enhance rural employment opportunities. However, the Plan seeks to ensure that development and growth does not have negative impacts upon a community's sustainability. Key to this is ensuring that development is not permitted at a scale or rate which would affect the community's ability to absorb and adapt to growth and change. This is imperative when considering the impacts which development can have upon the local infrastructure, the vitality of the Welsh language and the sustainability of the countryside and natural environment.

The Council is committed to addressing and safeguarding the needs of rural communities and to this end have established a Rural Affairs Task Group with the aim of assessing the needs of rural communities and taking positive steps to address these. The Plan supports the aims of the Task Group through its strategy and policies, principally through policies relating to the provision of housing and affordable housing, the economy and employment, the Welsh language and the natural environment; development proposals will need to demonstrate that they accord with these policies as well as the provisions of national planning policy.³¹

Strategic Policy – SP 13: Protection and Enhancement of the Natural Environment

Proposals for development will be expected to protect and enhance the County's natural environment.

Proposals must reflect the role an ecologically connected environment has in protecting and enhancing biodiversity, defining the landscape, creating a sense of place and contribute to a sense of Well-being.

Carmarthenshire has a rich and diverse natural environment with a number of designated sites and protected species. This policy seeks to recognise the quality and value of the

³¹ Planning Policy Wales; Technical Advice Note 6 Planning for Sustainable Rural Communities (July 2010)

natural environment and landscapes across the Plan area, and their fundamental role in defining the County's identity, character and distinctiveness.

The protection and enhancement of these elements form an important component of the Strategy, which looks to reflect not only those international and national designations, but also the contribution of sites and landscapes at the local level. The LDP will also seek to conserve and enhance natural resources such as geodiversity, water, soil and air quality.

This policy also recognises the often interconnected components of the natural environment and their contribution towards maintaining and enhancing biodiversity, as well as the creation of attractive and cohesive spaces for communities and the well-being of Carmarthenshire's population.

Protection and enhancement of connectivity, and the contribution it makes to the quality of Carmarthenshire's landscape, natural environment and biodiversity is an important consideration. As a result, the potential impact of the Plan and its policies and proposals upon nature conservation interests, amenity value, water/soil/air quality, hydrology, geology and geomorphological regimes will continue to inform the plan-making process.

A Habitats Regulation Assessment (HRA) has been undertaken to assess the impacts of the Plan on European protected sites, including those in the candidate stage of designation.

Whilst the Plan recognises the need for new development for both social and economic purposes, the Council will, where appropriate, seek to safeguard Carmarthenshire's environmental qualities. We will seek to ensure the protection and enhancement of the natural environment through detailed policy.

In addition, and reflecting the duties placed upon Local Authorities, we will have regard to the National Park designation and the purpose for which it is designated, where it may affect the consideration of planning proposals.

Strategic Policy – SP 14: Protection and Enhancement of the Built and Historic Environment.

Development proposals should preserve or enhance the built and historic environment of the County, its cultural, townscape and landscape assets, and, where appropriate, their setting.

Proposals will be expected to promote high quality design that reinforces local character and respects and enhances the cultural and historic qualities of the plan area.

Carmarthenshire has a rich and diverse historical and cultural built heritage, with a range of Conservation Areas, Listed Buildings, and Scheduled Ancient Monuments etc. The recognition of the Plan area's built heritage and its conservation is essential providing a sense of history, character and to as a sense of place.

The Plan area also contains archaeological sites and features including many of which have not yet been discovered. The Policy and the Plan aims, in conjunction with primary legislation on the built environment and historic buildings, to safeguard the cultural integrity of the historic settlements, features and buildings within the Plan area, and where applicable contribute to the enhancement of the historic and built environment. This recognises that our historic assets are irreplaceable resources and their conservation provides social, cultural, economic and environmental benefits.

Such historic assets include:

- listed buildings;
- conservation areas;
- historic parks, gardens and landscapes; and
- Un-designated assets which provide character to the area.

The County's historic buildings, townscape and landscape should be regarded as assets and positively conserved and enhanced for the benefit of residents and visitors alike. The special and often diverse character of the County, with its unspoilt countryside, industrial heritage and wealth of historic towns and villages, reflects the changes experienced through the ages, linking the past to the present and maintaining the area's distinct cultural identity.

Such features and structures not only affected by change and neglect, but also by changes to their setting. As such this is an important consideration in making decisions on proposals which may have an effect.

The need for new appropriate development across the County must be recognised, and as such the LDP will seek to direct and manage potential growth in a way which respects the importance of the built and historic environment

Strong Connections - Strongly connected people, places and organisations that are able to adapt to change

This Preferred Strategy recognises the importance of community and sense of place by seeking to distribute new development in manner that recognises and respects the role and function of our settlements.

By distributing growth in a sustainable manner and in a way that acknowledges our key connectivity routes, this Preferred Strategy can assist in the creation of connected communities that are resilient, vibrant and can foster a well-being amongst residents.

Whilst it is recognised that there is an overlap between the themes and the assignment of policies the following having been identified under this theme:

- Strategic Policy – SP 15: Climate Change
- Strategic Policy – SP 16: Sustainable Distribution – Settlement Framework
- Strategic Policy – SP 17: Transport and Accessibility
- Strategic Policy – SP 18: Mineral Resources
- Strategic Policy – SP 19: Waste Management

It should be noted that specific policies will be developed as part of the Deposit LDP and will as appropriate be identified within the context of the relevant theme.

The following policies seek to support the delivery of the Plan's strategic objectives, but also provide high level links and broad conformity with the Well-Being Goals.

Strategic Policy – SP 15: Climate Change

Where development proposals respond to, are resilient to, adapt to and minimise the causes and impacts of climate change they will be supported. In particular proposals will be supported where they:

- Reflect sustainable transport principles and minimise the need to travel, particularly by private motor car;**
- Avoid, or where appropriate, minimise the risk of flooding including the incorporation of measures such as SuDS and flood resilient design;**
- Promote the energy hierarchy by reducing energy demand, promoting energy efficiency and increasing the supply of renewable energy;**

- d) Incorporate appropriate climate responsive design solutions including orientation, layout, density and low carbon solutions (including design and construction methods) and utilise sustainable construction methods where feasible.**

Proposals for development which are located within areas at risk from flooding will be resisted unless they accord with the provisions of Planning Policy Wales TAN 15.

The need to tackle climate change represents a fundamental challenge if sustainable development and the obligations under the Well-being of Future Generations Act 2015 are to be delivered. The economic, social and environmental implications arising from Climate change will be profound and a failure to address it will result any effort to plan for sustainability unsuccessful.

The changing climate and the impacts for Wales predicted by the UK Climate Impacts Programme (UKCIP) present the planning system with serious challenges. In addressing them, Planning Policy Wales (PPW) outlines a series of objectives which should be taken into account during the preparation of a development plan.

The LDP categorises settlements into a hierarchy which reflects their relative sustainability. The Plan's aspiration of minimising the need to travel, particularly by private motor car, and its contributory role towards the facilitation of an integrated transport strategy seeks to direct development to appropriate locations which serve to achieve this.

The potential impact of flood risk forms an important consideration in the assessment of the appropriateness of sites for inclusion within the LDP. In this regard, a precautionary approach will be adopted in the identification of sites for inclusion in the Plan. The consideration of any proposals in respect of flooding have regard to the provisions of PPW and TAN15: Development and Flood Risk which provides guidance on assessing developments at risk from flooding.

Proposals affected by flood risk will be required to submit a Flood Consequences Assessment as part of any planning application and the Council will consult with Natural Resources Wales (NRW). Where a site is in part impacted upon by flood risk, the developer will need to consider the impact of the risk on the developability of the remainder of the site. Where appropriate they should undertake the necessary evidential work (including a flood consequences assessment and/or topographical survey) to the satisfaction of NRW.

Developments will be expected to exhibit good design principles to promote the efficient use of resources, including minimising waste and pollution generation, and maximising energy efficiency and the efficient use of other resources. Reference should be had to policy SP X in relation to the waste and the waste hierarchy and minimisation of waste.

Development proposals will be expected to make full and appropriate use of land. The potential impacts of climate change should be central to the design process, including the contribution that location, density, layout and built form can make towards climate responsive developments.

The Welsh Government is committed to using the planning system to optimise renewable energy and low carbon energy generation. PPW states that Local Planning Authorities can make a positive provision by considering the contribution that their area can make towards developing and facilitating renewable and low carbon energy, and enable this contribution to be delivered. Renewable energy targets have been set by the Welsh Government, one target is for Wales to be generating 70% of its electricity consumption from renewable energy by 2030.

Proposals/land uses and land management practices will be encouraged where they help to secure and protect carbon sinks (including peat). Such an approach will enhance resilience to the impacts of climate change and to reducing the causes of climate change through the protection of carbon sinks and as a sustainable energy source³².

PPW sets out clear guidance in terms of requirements for climate responsive developments and sustainable buildings. Reference should be made to the Practice Guidance – Planning for Sustainable Buildings (WG, 2014).

³² Planning Policy Wales: Edition 9 Para 4.6.4.
<https://gov.wales/docs/desh/publications/161117planning-policy-wales-edition-9-en.pdf>

Strategic Policy – SP 16: Sustainable Distribution – Settlement Framework

The provision of growth and development will be directed to sustainable locations in accordance with the following spatial framework.

	Cluster 1	Cluster 2	Cluster 3	Cluster 4	Cluster 5	Cluster 6
Tier 1 – Principal Centre	Carmarthen	Llanelli	Ammanford/Crosshands			
Tier 2 Service Centre	Pontyates/ Meinciau/ Ponthenri	Burry Port	Brynamman	Newcastle Emlyn	Llandovery	St Clears / Pwll Trap
		Pembrey	Glanamman/Garnant	Llanybydder	Llandeilo	Whitland
		Fforest/Hendy	Pontyberem/Bancffosfelen	Pencader	Llangadog	Laugharne
		Llangennech				
		Trimsaran/Carway				
		Kidwelly				
		Ferryside				
Tier 3 – Sustainable Villages	Cynwyl Elfed	Mynyddygarreg	Carmel	Drefach/ Felindre	Caio	Llanboidy
	Llanybri	Five Roads/Horeb	Cwmgwili	Waungilwen	Ffarmers	Glandy Cross
	Llansteffan	Llansaint / Broadway	Foelgastell	Llangeler	Llansawel	Efailwen
	Bronwydd		Maesybont	Pentrecwrt	Rhydcymerau	Llangynin
	Cwmffrwd		Ystradowen	Saron/Rhos	Talley	Meidrim
	Llangyndeyrn	Llannon		Llanllwni	Cwrt Henri	Bancyfelin
	Brechfa	Llanedi		Cwmann	Llanfynydd	Llangynog

	Llangain			Capel Iwan	Llanwrda	Pendine
	Idole and Pentrepoeth			Llanfihangel ar Arth	Cwmdu	Llanddowror
	Peniel			Trelech	Cwmifor	Llanmiloe
	Alltwalis			Pontyweli	Salem	
	Llanpumsaint			Cenarth	Abergorlech	
	Llandyfaelog					
	Rhydargaeau					
	Llanfihangel-ar-arth					
	New Inn					
	Llanarthne					
	Capel Dewi					
	Nantgaredig					
	Pontargothi					
	Llanddarog					
	Porthyrhyd					
	Crwbin					
	Cwmduad					
Tier 4 - Rural Villages (No Development Limits)						
	Hermon	Cynheidre	Capel Seion	Penboyr	Ffaldybrenin	Cwmfelin Mynach
	Abernant	Four Roads	Derwydd	Drefelin	Crugybar	Cwmbach
	Blaenycod		Heol Ddu	Cwmpengraig	Cwm-du	Blaenwaun
	Bancycapel		Maesybont	Cwmhiraeth	Ashfield Row	Llanglydwen
	Nantycaws		Milo	Pentrecagal	Felindre (Llangadog)	Cwmfelin Boeth
				Pontarsais	Cynghordy	Cross Inn

	Croesyceiliog		Pantllyn	Gwyddgrug	Golden Grove	Llansadurnen
	Felingwm Uchaf		Pentregwenlais	Dolgran	Broad Oak	Broadway
	Felingwm Isaf		Temple Bar	Bancyfford	Trapp	Red Roses
	Llanegwad		Cefnbrynbrain	Bryn Iwan	Manordeilo	Llanfallteg
	Pontantwn		Rhosamman	Pencarreg	Penybanc	
	Nebo		Drefach (Llandyfan)		Felindre, (Dryslwyn)	
	Talog		Stag and Pheasant		Dryslwyn	
	Cross Inn		Mynyddcerrig		Rhydcymerau	
	Penybont				Waunystrad Meurig	
	Whitemill				Bethlehem	
	Pont-Newydd				Capel Isaac	
					Llangathen	
					Llansadwrn	
					Rhandirmwyn	
					Porthyrhyd	
					Pumsaint	
					Siloh	

The Plan seeks to distribute growth and development spatially across the County having regard to the spatial strategy and spatial framework and national policy³³. This emphasises the need for a settlement strategy to provide the basis for a spatial pattern of housing development, balancing social, economic and environmental needs. Whilst the majority of development will be directed to the top tiers of the settlement hierarchy, the diversity of the County is recognised and regard will be had to housing in rural areas and the value such areas play within the County, its communities and to the economy.

The Plan seeks to distribute the growth in a way which reflects the diversity of the settlement clusters and in a sustainable manner. It will have regard to the role and function of the settlements but also accepts that some settlements which may by virtue of services and facilities available may not necessarily be the most appropriate options for all the growth. This may reflect a number of factors not least environmental constraints but also historical delivery of growth within such settlements. Additionally, cross-border influences and proximity to adjacent settlements are influencing factors to varying extents. These include: Pontarddulais, Lampeter, Adpar, Narberth and Llandysul.

The approach will avoid any assumption that that every settlement in every tier must contribute towards growth, rather it will consider the settlements on their merits having whilst having regard to their sustainability and position within the framework. Therefore, it does not seek to apportion development spatially within the hierarchy purely by the use of proportional distribution or quotas.

The strategy accepts that the principal centres will be the main focus of growth, with its precise spread across the County being responsive and not constrained by a rigid proportional distribution. Regard will be made to the scale and character as well as the role of the settlement.

The following sets out an indicative apportionment of residential growth by tier; this will be further developed as the Plan progresses through its preparatory stages:

Principal Centre 50 - 55%; Service Centre 15 - 20%; Sustainable Villages 15 - 20%; Rural Villages 15- 20% and Non-Defined Rural Settlements < 1%.

³³ Planning Policy Wales (Edition 9)

The rural villages will have provision for small scale housing opportunities focused on infill and logical extensions as well as small scale rural exceptions for affordable housing. This provides scope for limited market housing provision.

Within the undefined rural settlements, new housing development will be limited to small scale opportunities where local needs affordable housing is provided. Such proposals will be focused around infill and opportunities for logical extensions. Both these tiers will not have development limits with proposals considered through criteria based policies.

Whilst the above refers specifically to residential growth, the settlement framework will, in conjunction with specific policies, also guide the consideration of appropriate locations and scale of other developments (including employment).

The following sets out an indicative outline on the nature of development likely by tier including their scale and type. Further details will be developed as part of the Deposit Plan, as will the specific criteria policies necessary to support to consideration of proposals such as rural exceptions and defined rural villages:

Principal Centres

Strategic Sites
Large and small scale Employment Areas
Housing Allocations
Small housing sites (under 5 homes);
Affordable Housing Provision on sites of 5 or more units
Windfall housing opportunities

Service Centres:

Small Scale Employment Areas
Housing Allocations
Affordable Housing Provision on sites of 5 or more units
Small housing sites (under 5 homes);
Windfall housing opportunities

Sustainable Villages:

Housing Allocations
Affordable housing on sites of 5 or more units
Small housing sites (under 5 homes);
Windfall housing opportunities
Small Scale Rural Exceptions Schemes for Affordable Housing adjoining settlement boundaries

Rural Villages (No Development Limits):

Small sites – housing through infill or logical extensions/rounding off.
Small Scale Rural Exceptions Schemes for Affordable Housing

Non Defined Rural Settlements:

Local needs affordable housing and Small Scale Rural Exceptions Schemes for Affordable Housing

Strategic Policy – SP 17: Transport and Accessibility

Sustainable and deliverable development requires an integrated, accessible, reliable, efficient, safe and sustainable transport network to underpin delivery. The Plan therefore contributes to the delivery of a sustainable transport system and associated infrastructure through:

- a. Reducing the need to travel, particularly by private motor car;**
- b. Addressing social inclusion through increased accessibility to employment, services and facilities;**
- c. Supporting and where applicable enhancing alternatives to the motor car, such as public transport (including park and ride facilities and encourage the adoption of travel plans) and active transport through cycling and walking;**
- d. Re-enforcing the function and role of settlements in accordance with the settlement framework;**
- e. Promoting the efficient use of the transport network;**
- f. Enhancing accessibility to employment, homes, services and facilities at locations accessible to appropriate transport infrastructure – including significant trip generating proposals;**
- g. The incorporation of design and access solutions within developments to promote accessibility. Provide walking and cycling routes, linking in with active travel networks and green infrastructure networks; and**
- h. Adopt a sustainable approach to the design, function and layout of new development, including providing appropriate levels of parking.**

The strategy reflects and promotes the principles of sustainability and accessibility to essential services and facilities with the aim of achieving viable, self-supporting settlements and sustainable communities thus increasing social inclusion and cohesion. The settlement framework reflects the sustainability of settlements where services, jobs, shopping and leisure facilities are located whilst recognising the diversity of the County and its communities including the rural areas.

In achieving the above the strategy has regard to the highway and rail network along with accessibility to public transport and the potential for growth of settlements reflecting levels of accessibility (to be considered as part of the Deposit LDP).

Due to the diversity of the County, accessibility and the aim of reducing the need to travel (and reducing CO2 emissions) remains a challenge for a large part of Carmarthenshire. This challenge is particularly evident when addressing the need to sustain rural areas and ensure that their communities do not suffer social exclusion. This must also relate to a realistic acceptance that the motor car remains an important means of travel in such areas.

Minimising travel may also be possible through an integrated transport strategy and the development of self-sustaining communities (including the availability of services and facilities) and the availability of alternatives through appropriate initiatives such as 'Bwcabus'. It is however also recognised that as technology progresses the potential impact or otherwise of the motorcar will change.

The LDP will seek to positively promote solutions which encourage access to technological changes, including electric charging points, in promoting a reduction in harmful emissions and enhancing social inclusion and accessibility.

Road schemes that are identified within the relevant Transport Plan will, where there is sufficient certainty, be identified within the Deposit LDP and where appropriate safeguarded. Where a scheme is identified as requiring further feasibility, design and preparation it may not be identified in the Deposit LDP as this reflects the potential for an absence of clear indications of delivery.

The role of the County as a centre for cycling in Wales is recognised and the publication of the Cycling Strategy will be considered and where appropriate reflected as the LDP progresses. In this respect the role of the cycling network as an economic driver and leisure and tourism asset is recognised. Similarly, its contribution to the promotion of accessibility and benefits to our communities is also recognised - as is that afforded through the public footpath network and bridleways.

Strategic Policy – SP 18: Mineral Resources

The County's identified mineral resources will be sustainably managed by:

- a) Ensuring supply by maintaining an adequate landbank of permitted aggregate reserves (hard rock and sand and gravel) throughout the Plan period;**

- b) Encouraging the efficient and appropriate use of high quality minerals and maximising the potential for the re-use and recycling of suitable minerals as an alternative to primary won aggregates;**
- c) Safeguarding areas underlain by minerals of economic importance where they could be worked in the future to ensure that such resources are not unnecessarily sterilised by other forms of development;**
- d) The use of buffer zones to reduce the conflict between mineral development and sensitive development;**
- e) Securing appropriate restoration which can deliver specific environmental and community benefits.**

The LDP should ensure that the County provides mineral resources to meet society's needs and that such resources, are safeguarded from sterilisation. In doing so, the LDP seeks to ensure that a proper balance is struck between this fundamental requirement, the need to ensure a prudent use of these finite resources, and the protection of existing amenity and the environment.

Carmarthenshire has a wide variety of mineral resources as a result of its complex geology. The main feature in the south of the County is the broad sweep of the Coal Measures outcrop, fringed to the north by Carboniferous Limestone. Limestone quarrying is the largest of the extractive industries in the County. The northern parts of the County are underlain by older rocks of Ordovician and Silurian age, mainly sandstones, shales and slates. The economic significance of these is variable.

The South Wales Regional Technical Statement (RTS) 2014 sets out the contribution that each constituent local authority should make towards meeting the regional demand for aggregates (both hard rock and sand and gravel). The LDP's second Annual Monitoring Report (AMR, 2016/17) establishes that the County's landbank figures, for both hard rock and sand and gravel, is notably in excess of the minimum requirements set out in Minerals Technical Advice Note (MTAN) 1: Aggregates, and consequently there is no requirement to allocate new sites for mineral development.

Strategic Policy – SP 19: Waste Management

Provision will be made to facilitate the sustainable management of waste through:

- a) The allocation of adequate appropriate land to provide for an integrated network of waste management facilities;**
- b) Supporting proposals for waste management which involve the management of waste in accordance with the ranking set out within in the waste hierarchy;**
- c) Supporting proposals for new in-building waste management facilities at existing and allocated industrial sites which are suitable for waste management facilities;**
- d) Acknowledging that certain types of waste facility may need to be located outside the development limits of settlements;**
- e) Ensuring that provision is made for the sustainable management of waste in all new development, including securing opportunities to minimise the production of waste.**

The system of waste management and waste planning is undergoing a rapid transition. Targets for waste minimisation and recycling and will require new methods of managing waste, together with a potential significant increase in the number of facilities to enable these methods to be implemented and the targets to be met.

In accordance with the Overarching Waste Strategy Document for Wales *Towards Zero Waste* (TZW), and Planning Policy Wales, local authorities are required to develop a sustainable approach to the management of waste, including the support of proposals for waste operations which move the management of waste up the waste hierarchy, and the identification of land appropriate to facilitate an integrated and sustainable network of waste facilities.

New technological advances and changes in legislation, policies and practices, mean that modern in-building waste management facilities now have the external appearance of any other industrial unit, and contain methods of industrial de-manufacturing or energy generation no different to modern industrial processes. The in-principle suitability of B2 industrial sites therefore has become accepted and allows a greater scope of possible sites.

Technical Advice Note (TAN) 21 sets out that collaboration between local planning authorities will be necessary to monitor progress towards establishing an integrated and adequate network for the disposal of waste and recovery of mixed municipal waste.

Consequently, the Country has been split into 3 regions which each have the task of producing an annual Waste Planning Monitoring Report (WPMR).

One of the principal roles of the WPMR is to present data to enable the effective monitoring of how the region's residual waste arising's are managed, particularly the progress being made towards alternatives to landfill, in order to assess the region's performance against the targets set out in TZW. The information and analysis presented in the reports should provide a basis for local authorities (and other organisations) to take action on the waste arising's within their area. The Reports should also provide an information base to assist the waste management industry make key investment decisions.

In formulating development proposals, consideration should be given to the implications for waste. The location and scale of developments should have regard to the availability and capacity of waste management facilities in the area. In this respect, proposals should not result in unnecessary trip generation.

Appendix 1: Policy Assessment

Strategic Policy: SP1 Strategic Growth	
Strategic Objectives	SO3 - To assist in widening and promoting education and skills training opportunities for all.
Local Well-being Goals	<p>Early Intervention - To make sure that people have the right help at the right time; as and when they need it.</p> <p>Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.</p>
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP2 Retail and Town Centres	
Strategic Objectives	SO4 - To ensure that the principles of equal opportunities and social inclusion are upheld by promoting access to a high quality and diverse mix of public services, healthcare, shops, leisure facilities and work opportunities, as well as vibrant town centres.
Local Well-being Goals	<p>Early Intervention - To make sure that people have the right help at the right time; as and when they need it.</p> <p>Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.</p>
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP3 Providing New Homes	
Strategic Objectives	SO10 - To make provision for an appropriate mix of quality homes across the County based around the principles of sustainable socio-economic development and equality of opportunities.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP4 Affordable Homes	
Strategic Objectives	SO10 - To make provision for an appropriate mix of quality homes across the County based around the principles of sustainable socio-economic development and equality of opportunities.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP5 Strategic Sites	
Strategic Objectives	SO12 - To encourage investment & innovation in rural and urban areas by making adequate provision to meet employment need and to contribute at a regional level to the delivery of the Swansea Bay City Deal.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.

Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>
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Strategic Policy: SP6 Employment and the Economy	
Strategic Objectives	SO12 - To encourage investment & innovation in rural and urban areas by making adequate provision to meet employment need and to contribute at a regional level to the delivery of the Swansea Bay City Deal.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP7 Welsh Language and Culture	
Strategic Objectives	SO11 - To assist in protecting, enhancing and promoting the Welsh Language and the County's unique cultural identity, assets and social fabric.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP8 Infrastructure	
Strategic Objectives	SO14 - To reflect the requirements associated with the delivery of new development, both in terms of hard and soft infrastructure (including broadband).

Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP9 Gypsy and Traveller Provision	
Strategic Objectives	SO10 - To make provision for an appropriate mix of quality homes across the County based around the principles of sustainable socio-economic development and equality of opportunities.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP10 The Visitor Economy	
Strategic Objectives	SO13 - To make provision for sustainable & high quality all year round tourism related initiatives.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP11 Placemaking, Sustainability and High Quality Design	
Strategic Objectives	SO9 - To protect and enhance the diverse character, distinctiveness, safety and vibrancy of the County's communities by promoting a place making approach and a sense of place.
Local Well-being Goals	Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP12 Rural Development	
Strategic Objectives	SO2 - To assist with widening and promoting wellbeing opportunities through access to community, leisure and recreational facilities as well as the countryside.
Local Well-being Goals	Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment. Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP13 Protection and Enhancement of the Natural Environment	
Strategic Objectives	SO1 - To ensure that the natural environment, including habitats and species, are safeguarded and enhanced.

Local Well-being Goals	Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP14 Protection and Enhancement of the Built and Historic Environment	
Strategic Objectives	SO5 - To safeguarded and enhance the built and historic environment and promote the appropriate reuse of redundant buildings.
Local Well-being Goals	Healthy Habits - People have a good quality of life, and make healthy choices about their lives and environment.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP15 Climate Change	
Strategic Objectives	SO7 - To make a significant contribution towards tackling the cause and adapting to the effect of climate change, including promoting the efficient use and safeguarding of resources.
Local Well-being Goals	Strong Connections - Strongly connected people, places and organisations that are able to adapt to change.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP16 Sustainable Distribution – Settlement Framework	
Strategic Objectives	SO6 - To ensure that the principles of spatial sustainability are upheld by directing development to sustainable locations with access to services and facilities and wherever possible encouraging the reuse of previously developed land.
Local Well-being Goals	<p>Strong Connections - Strongly connected people, places and organisations that are able to adapt to change.</p> <p>Prosperous People and Places - To maximise opportunities for people and places in both urban and rural parts of our county.</p>
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP17 Transport and Accessibility	
Strategic Objectives	SO8 - To contribute to the delivery of an accessible integrated and sustainable transport system, including links to alternative transport methods.
Local Well-being Goals	Strong Connections - Strongly connected people, places and organisations that are able to adapt to change.
Monitoring	<p>The following indicators will monitor the effectiveness of the policy:</p> <p>To be developed as part of the deposit LDP.</p>

Strategic Policy: SP18 Mineral Resources	
Strategic Objectives	SO7 - To make a significant contribution towards tackling the cause and adapting to the effect of climate change, including promoting the efficient use and safeguarding of resources.
Local Well-being Goals	Strong Connections - Strongly connected people, places and organisations that are able to adapt to change.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Strategic Policy: SP19 Waste Management	
Strategic Objectives	SO7 - To make a significant contribution towards tackling the cause and adapting to the effect of climate change, including promoting the efficient use and safeguarding of resources.
Local Well-being Goals	Strong Connections - Strongly connected people, places and organisations that are able to adapt to change.
Monitoring	The following indicators will monitor the effectiveness of the policy: To be developed as part of the deposit LDP.

Appendix 2 - Strategic Sites - Maps

To be inserted

Revised Carmarthenshire Local Development Plan 2018 – 2033

Draft Initial Sustainability Appraisal

Report to Executive Board

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1. Introduction

This Sustainability Appraisal (SA) Report forms part of the Council's pre-deposit proposal documents for the Revised Carmarthenshire Local Development Plan (LDP). The purpose of the SA is to identify any likely significant economic, environmental and social effects of the LDP, and to suggest measures to minimise the positive ones. This process promotes more sustainable development and foster a more inclusive and transparent process of producing a LDP, and helps to ensure that the LDP is integrated with other policies.

Sustainability Appraisal is a statutory requirement for Local Development Plans under Section 62(6) of the Planning and Compulsory Purchase Act 2004. The purpose of Sustainability Appraisal is to assess the social and economic effects of the component policies, proposals and strategy elements of the Local Development Plan to ensure that decisions accord with the principles of sustainable development.

The Welsh Government define sustainable development in Wales through the Well-being of Future Generations (Wales) Act 2015 as:

“the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the well-being goals”.

Welsh Government Guidance on the Preparation of Local Development Plans identifies that a Sustainability Appraisal must integrate the requirements of the Strategic Environmental Assessment Regulations. The requirements of EU Directive 2001/42/EC (also known as the SEA Directive) have been transposed into Welsh Law through The Environmental Assessment of Plans and Programmes (Wales) Regulations 2004. Strategic Environmental Assessment requires the formal assessment of certain plans and programmes that are likely to have significant effects on the environment; this includes LDPs.

The SA process also integrates the Health Impact Assessment (HIA) Process, the Welsh Language Impact Assessment, and the Equalities Impact Assessment. It is undertaken in parallel to the Habitats Regulations Assessment (HRA).

SA/SEA and the LDP process

The LDP Manual outlines five main stages in undertaking an SA (see Table 1). SA is an iterative process, resulting in comment and feedback at each stage of the LDP and thus allowing the potential sustainability implications of proposed options/policies to be considered and the process to be transparent. If necessary, the LDP can be refined throughout its preparation to ensure it is a sustainable document.

Table 1 Stages in the SA Process and their relationship to LDP. Adapted from the LDP Manual (2nd Edition).

SA/SEA Stage	LDP Stage
Stage A: Setting the context and objectives, establishing the baseline and deciding on the scope	Evidence Gathering and objectives
A1 Identifying other relevant policies, plans and programmes; and sustainability objectives	
A2 Collecting baseline information	
A3 Identifying sustainability issues and problems	
A4 Developing the Sustainability Appraisal framework	
A5 Consulting on the scope of the Sustainability Appraisal	
Stage B: Developing and refining options and assessing effects	Strategic Options and Preferred Strategy
B1 Testing the LDP objectives against the Sustainability Framework	
B2 Developing the LDP options	
B3 Predicting the effects of the LDP options	
B4 Evaluate the effects of the LDP options	
B5 Considering ways of mitigating adverse effects and maximising beneficial effects	
B6 Proposing measures to monitor the significant effects of implementing the LDP	
Stage C: Preparing the Environmental Report	
C1 Preparing the Environmental Report	
Stage D: Consultation on the Draft LDP and the Environmental Report	
D1 Consulting on the LDP Preferred Strategy and the Initial SA report	LDP preparation and Deposit
D2(i) Appraise any significant changes from consultation	
Update the SA Report	Submission, Examination and Adoption
Examination	
D2(ii) Appraising significant changes resulting from representations	
D3 Making decisions and providing information	
Adoption statement and final SA report	Monitoring and Review
Stage E: Monitoring the significant effects on implementing the LDP	
E1 Finalising aims and methods for monitoring	
E2 Responding to adverse effects	

Progress and Compliance with Regulations

Stage A

The Council completed Stage A in July 2018 with the publication of the draft Scoping Report for consultation. The draft Scoping Report contained:

- **A1 Plan/Policy/Programme Review and Sustainability Objectives**

A number of Plans, Policies and Programmes that could have an impact upon the LDP were examined, including those at international, national, regional and local levels, as well as adjacent authorities Local Development Plans. An updated version of the list is presented in Appendix 3.

- **A2 Baseline Information**

The draft scoping report an up to date collation of the state of the environment, economy and society in Carmarthenshire. This also forms the baseline for monitoring the outcomes of the LDP post adoption.

- **A3 Identifying issues and problems**

The report highlights sustainability issues, problems but also opportunities which can be addressed via the revised LDP.

- **A4 Developing the Sustainability Framework**

The SA Framework provides a way in which sustainability effects can be described, analysed and compared and was developed in considerations of the issues and opportunities raised. This framework provides a basis by which the sustainability of the LDP can be tested.

- **A5 Consulting on the Scope of the Sustainability Appraisal**

The Scoping Report was published for consultation on 18th July 2018 for a six week period. It was available to view on the Carmarthenshire County Council website and notifications emails and letters were sent out to inform consultation bodies and persons who had registered for updates on the LDP process.

Comments were received from a number of stakeholders, all of which are collated in Appendix XX. Amendments to the SA have been made as a result of these comments, where appropriate, and any comments considered to relate more to the LDP were noted and passed on to the LDP team for their consideration.

Stage B

This initial SA report has been prepared to comply with Stage B of the SA process.

- **B1 Testing the LDP objectives against the Sustainability Framework**

This report will test the objectives of the LDP preferred strategy against the Sustainability Framework. This is documented in Chapter 3 of this report.

- **B2 Developing the LDP options**

- B3 Predicting the effects of the LDP options**

- B4 Evaluate the effects of the LDP options**

This report will develop, predict and evaluate the LDP strategic options, for both growth and spatial distribution, as well as the strategic policies that will be put in place to implement them.

This process is documented in Chapter 5 and 6 of this report.

- **B5 Considering ways of mitigating adverse effects and maximising beneficial effects.**

This is discussed in Chapter 7 of this report

- **B6 Proposing measures to monitor the significant effects of implementing the LDP**

This is discussed in Chapter 8 of this report.

2. Appraisal Methodology

Approach

The SA methodology has referenced guidance provided in a number of documents. These include:

- Welsh Government LDP Manual, Edition 2 (2015)¹,
- ODPM Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents (2005)²
- ODPM A Practical Guide to the Strategic Environmental Assessment Directive (2005)³
- RTPI Improving the Effectiveness and Efficiency of SEA/SA for Land Use Plans (2018)⁴

The Sustainability Framework

The SA Framework provides a consistent basis for describing, analyzing and comparing the sustainability effects of the objectives, options and specific proposals of the LDP. The SA Framework is objective-led and is therefore each of the revised LDP's strategic objectives and options are assessed on its contribution to achieving the SA objectives.

The framework sets out sustainability objectives that are based on sound evidence and reflect the challenges faced within the plan area. The objectives were developed in consideration of the following inputs, all of which are detailed in the SA Scoping Report:

- The Review of Plans, Programmes and Policies
- Baseline information
- Identified sustainability issues and opportunities

The Sustainability Appraisal (SA) Framework was presented within the SA Scoping Report⁵. The objectives were selected in order to assess how the revised LDP will meet the criteria of the SEA Directive and contribute to sustainable development. The full SA framework is provided in Appendix 1. In summary, the objectives reflect the themes identified within Schedule 2 of the SEA Regulations as well as additional objectives relating to climate change and socio-economic factors.

The 15 SA Objectives that make up the framework are:

- SA1 Sustainable Development
- SA2 Biodiversity
- SA3 Air Quality
- SA4 Climactic Factors
- SA5 Water

¹ Welsh Government Local Development Plan Manual, Edition 2 August 2015.

<https://gov.wales/topics/planning/policy/policy-and-guidance-on-development-plans/ldpmanual/?lang=en>

² Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents, Office of the Deputy Prime Minister 2005.

³ A Practical Guide to the Strategic Environmental Assessment Directive, Office of the Deputy Prime Minister, Welsh Assembly Government, Scottish Executive and Department of Environment Northern Ireland 2005.

⁴ Improving the Effectiveness and Efficiency of SEA/SA for Land Use Plans, Royal Town Planning Institute 2018

⁵ Revised Local Development Plan Sustainability Appraisal Scoping Report July 2018

<https://www.carmarthenshire.gov.wales/media/1215166/sa-scoping-report-final.pdf>

- SA6 Material Assets
- SA7 Soil
- SA8 Cultural Heritage and Historic Environments
- SA9 Landscape
- SA10 Population
- SA11 The Welsh Language
- SA12 Health and Well-being
- SA13 Education and Skills
- SA14 Economy
- SA15 Social Fabric

To aid in the assessment process each objective is supported by a number of sub-objectives and accompanying 'decision making criteria', which will facilitate the assessment process and assist in the interpretation of the main objective.

Determining effect significance

The Environmental Report must document any Annex II of the SEA Directive sets criteria for the determining of likely significant effects. Prediction of effects involves identifying changes to the environmental baseline which are predicted to arise from the implementation of the plan, including alternatives. Prediction of effects should also include consideration of the following:

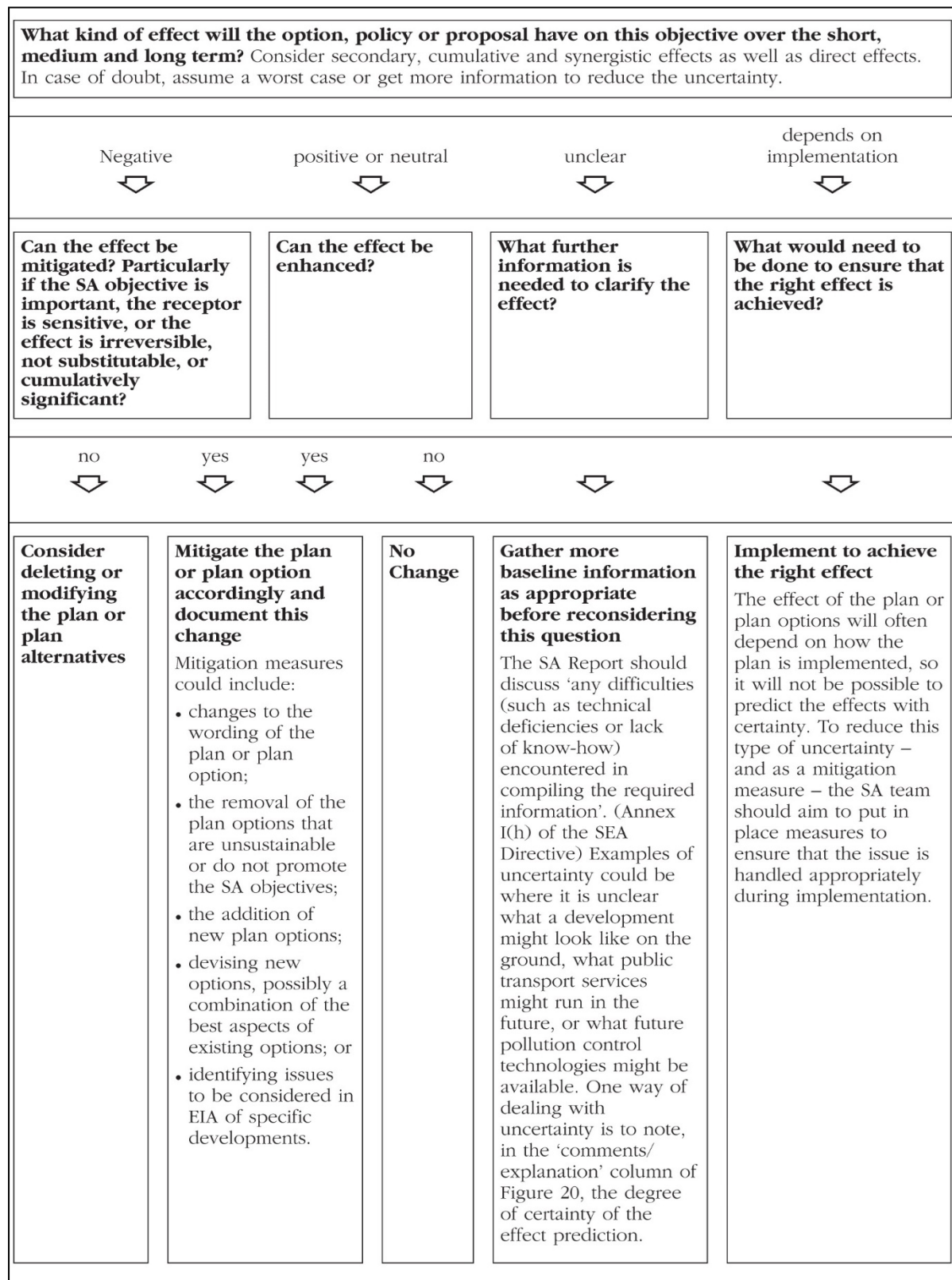
- The **magnitude** of the plan's effects, including the degree to which the plan sets a framework for projects, the degree to which it influences other plans, and environmental problems relevant to the plan.
- The **sensitivity** of the receiving environment, including the value and vulnerability of the area, exceeded environmental quality standards, and effects on designated areas or landscapes.
- **Effect characteristics**, including probability, duration, frequency, reversibility, cumulative effects, transboundary effects, risks to human health or the environment, and the magnitude and spatial extent of the effects.

Given the broad nature of plan proposals and the difficulty of separating other causes of the effects, a qualitative approach is considered to be the most meaningful approach. However, qualitative does not mean 'guessed' and predictions need to be supported by evidence. Once the evidence has been considered, a judgement must be formed on whether or not the predicted effect is considered significant. Figure 1 provides a framework by which judgements of significance can be made consistently and ensuring prediction, evaluation and mitigation are all incorporated into the appraisal.

Timescales

The SEA Directive also requires the analysis of effects to include "short, medium and long-term, permanent and temporary ... effects" (Annex I(f)). Effects may vary over different timescales, e.g. adverse short term effects from disturbance of habitats but beneficial ones in the long term from reductions in air pollution or greenhouse gases. With this in mind, the SA will consider effects over three timescales.

- Short Term (S): 0 – 5 years
- Medium Term (M): 6 – 10 years
- Long Term (L): 11 – 20 years

Figure 1 The Sustainability Appraisal Process

Baseline Scenario

To meet SEA requirements (SEA Regulations – Regulation 12 and Schedule 2(2)) it is necessary to identify the likely evolution of the plan area without implementation of the plan. Establishing what the situation might be without the plan, i.e. the business-as-usual scenario, involves asking how current policies, practices and trends might change in the future in the absence of any active intervention through the LDP. The business as usual situation should be used as a benchmark against which to compare the implications and performance of other options. As this is a revision of the current LDP the baseline against which all options and policies are considered is how the area would change under the current development plan in the absence of new policies being introduced.

This appraisal has been carried out with consideration of existing plans, programmes and policies in place as part of the baseline scenario. It is important to be aware that some of these plans, programmes and policies may already mitigate some of the negative effects that have the potential to occur as the result of the LDP and this has been considered as part of the assessment. A full list of relevant plans, programmes and policies is included in Appendix 3. Particular regard is had to existing national planning policy including associated Technical Advice Notes (TANs).

Impact Matrices

In order to test the compatibility of the strategic options and policies with the SA Framework, matrices have been used to summarise the appraisal using the criteria outlined in Table 2. The manner in which the objectives, options and sites contribute to achieving the SA Framework objectives is indicated by the following symbols:

Table 2 Sustainability Appraisal Criteria

Symbol	Predicted Effect	Suggested action/response
++	Very positive effect – the subject of the appraisal would significantly help in achieving the Sustainability objective.	Consider whether very positive effect can be further enhanced
+	Positive effect - the subject of the appraisal would help in achieving the Sustainability objective.	Consider whether positive effect can be further enhanced
+/-	Positive and negative effects – the subject of the appraisal would help some elements of the Sustainability objective whilst hindering others.	Consider mitigation for negative effects and whether positive effects can be enhanced
-	Negative effect - the subject of the appraisal would be in conflict with the Sustainability objective.	Consider mitigation such as delete/reconsider/amend the policy or site allocation; reconsider the policy or proposed use.
--	Very negative effect - the subject of the appraisal would be in significant conflict with the Sustainability objective.	Significant mitigation measures to reduce severity or effect; reconsider the policy or proposed use
I	Effect on the Sustainability objective depends on how the policy and allocation are implemented	Suggestions for implementation
?	Uncertain effect – need more information	Consider where this will come from – who has it? What will be done about collecting it? When will it be collected?

4. Appraisal of the Strategic Objectives

The LDP Vision and Objectives must accord with sustainability principles and have been assessed against each of the SA objectives, in order to identify if there will be any significant effect on the environment, or unsustainable outcomes. This process has helped to refine the Vision and Objectives to ensure that they embody and reflect the principles of sustainability.

The Draft Revised LDP vision

The role of the Vision is to establish the core purpose of the revised LDP and to provide a framework for developing policies and measuring the extent to which the implementation of the plan is successful. The LDP vision provides a spatial perspective which gives the plan purpose and direction and to ensure delivery through the land use planning system. The revised LDP vision draws on strategic planning priorities identified in national policy and local strategies, as well as the identified Key Issues for the County (Figure 2).

Figure 2 The Draft Revised LDP vision

One Carmarthenshire

Carmarthenshire 2033 will be a place to start, live and age well within a healthy, safe and prosperous environment, where its rich cultural and environmental qualities are valued and respected.

It will have prosperous, cohesive and sustainable communities providing increased opportunities, interventions and connections for people, places and organisations in both rural and urban parts of our County.

It will have a strong economy that reflects its position as a confident and ambitious driver for the Swansea Bay City Region.

The vision was assessed against the SA framework and is shown in Table 3. This assessment concluded that the Draft Vision performed well against most aspects of sustainable development, in particular against Biodiversity, Material Assets, Population, Health and Well Being, Education and Skills, Economy and Social Fabric.

It is difficult to establish what effect the vision will have on more specific environmental sustainability objectives, such as Air Quality, Climatic Factors, Water, Soil, Cultural Heritage and Landscape as there is no direct reference made to these factors in the Vision. There is however reference to Carmarthenshire's 'environmental qualities [being] valued and respected' which does establish a basis for a positive effect on these sustainability objectives.

There is also no direct reference made to the Welsh Language so at this time there is no link between the LDP Vision and the Welsh Language SA objective.

Sustainability Appraisal of the Strategic Objectives

The LDP Objectives should provide clear statements of intent and focus on how the LDP Vision is to be delivered. They provide a framework by which the strategic policies are formed, and will later inform the formulation of detailed policies for the Deposit Plan. The Strategic Objectives also set the context for the development of the Strategic Growth and Spatial Options.

The draft Strategic Objectives are set out in full in Table 3 below, and a summary of their performance against the SA framework is summarised in Figure 3. A detailed commentary is provided in Table 4.

Table 3 Draft Revised LDP Objectives

<p>Healthy Habits – People have a good quality of life and make healthy choices about their lives and environment</p> <ul style="list-style-type: none"> • SO1 To ensure that the natural environment, including habitats and species, are safeguarded and enhanced • SO2 To assist with widening and promoting wellbeing opportunities through access to community, leisure and recreational facilities as well as the countryside • SO5 To safeguard and enhance the built and historic environment and promote the appropriate reuse of redundant buildings.
<p>Early Intervention – To make sure that people have the right help at the right time; as and when they need it</p> <ul style="list-style-type: none"> • SO3 To assist in widening and promoting education and skills training opportunities for all. • SO4 To ensure that the principles of equal opportunities and social inclusion are upheld by promoting access to a high quality and diverse mix of public services, healthcare, shops, leisure facilities and work opportunities, as well as vibrant town centres.
<p>Strong Connections – Strongly connected people, places and organisations that are able to adapt to change</p> <ul style="list-style-type: none"> • SO6 To ensure that the principles of spatial sustainability are upheld by directing development to sustainable locations with access to services and facilities and wherever possible encouraging the reuse of previously developed land. • SO7 To make a significant contribution towards tackling the cause and adapting to the effect of climate change, including promoting the efficient use and safeguarding of resources. • SO8 To contribute to the delivery of an accessible integrated and sustainable transport system, including links to alternative transport methods
<p>Prosperous People and Places – To maximise opportunities for people and places in both urban and rural parts of our county</p> <ul style="list-style-type: none"> • SO9 To protect and enhance the diverse character, distinctiveness, safety and vibrancy of the County's communities by promoting a place making approach and a sense of place. • SO10 To make provision for an appropriate mix of quality homes across the County based around the principles of sustainable socio-economic development and equality of opportunities. • SO11 To assist in protecting, enhancing and promoting the Welsh Language and the County's unique cultural identity, assets and social fabric. • SO12 To encourage investment & innovation in rural and urban areas by making adequate provision to meet employment need and to contribute at a regional level to the delivery of the Swansea Bay City Deal. • SO13 To make provision for sustainable & high quality all year round tourism related initiatives. • SO14 To reflect the requirements associated with the delivery of new development, both in terms of hard and soft infrastructure (including broadband).

Overall, the 14 Strategic Objectives show positive alignment with the principles of Sustainable Development and perform well against the Sustainability Framework, with very few potential conflicts highlighted. This demonstrates that aspects of sustainability have been fully considered throughout the development of the Strategic Objectives.

For many of the Sustainability Objectives the impact of the LDP Objectives are unknown as the outcome depends on the type of development, activity or location. The appraisal also highlights some potential conflicts, in particular with regards to Biodiversity, Air Quality, Water and Cultural Heritage. These uncertain and potentially negative impacts should, where possible, be resolved through the detailed LDP policies and appropriate mitigation.

Table 4 Commentary of Sustainability Appraisal of Strategic Objectives

SO1	<ul style="list-style-type: none"> • Directly supports the protection of biodiversity, habitats and species (SA2). • Aligns positively with improving air quality (SA3) and resilience to climatic factors (SA4) by safeguarding green spaces, trees and other natural vegetation that contribute to air purification and reduction of greenhouse gases. • Ensuring the safeguarding and enhancement of species and habitats, of which there are many riverine, estuarine, coastal and marine examples in Carmarthenshire. Their protection should require that water quality be improved which aligns positively with SA5. • Encouraging sustainability and sustainable modes of transport (SA6) aligns positively with reducing transport and congestion related impacts on species and habitats. • Protection of the natural environment increases access to green spaces for the purposes of wellbeing (SA12), however this could encourage unsustainable recreational pressures to habitats and species that are highly sensitive to external pressures.
SO2	<ul style="list-style-type: none"> • Biodiversity and its protection and enhancement in rural and urban areas (SA2) increases access to the natural environment for recreational and wellbeing purposes. However, this may lead to unsustainable recreational pressures to habitats and species that are highly sensitive to external pressures. • Maintaining a high level of water quality (SA5) ensures water based community, leisure and recreational facilities are accessible at a high standard. However, increased recreational use of water resources could place increase pollution pressures on sensitive water bodies. • Promotion and integration of different modes of transport (in particular cycling and walking) (SA6) is positively aligned with SO2. • SO2 contributes positively to promoting social inclusion of disadvantaged and minority groups in society through promotion of access to wellbeing opportunities and facilities (SA10/SA15). • This objective directly aligns with SA12.
SO3	<ul style="list-style-type: none"> • Aligns positively with the inclusion of disadvantaged and minority groups, as well as promoting the retention of young people in the community

	<p>(SA10/SA12/SA15) by promoting access to education and skills training opportunities for all.</p> <ul style="list-style-type: none"> • Carmarthenshire supports both Welsh and English medium learning facilities, and their promotion will align positively with the promoting of the Welsh Language throughout the County (SA11). • The objective directly aligns with SA13. • Supporting a more educated and skilled population positively supports a sustainable economy with good employment opportunities (SA14).
SO4	<ul style="list-style-type: none"> • Ensuring services and facilities are accessible as well as promoting vibrant town centres encourages needs to be met locally, reducing the distances people will be required to travel and increasing access to public transport (SA3/SA4/SA6) • Equal opportunities and social inclusion align positively with SA10 and SA15. • Establishing vibrant town centres with a diverse mix of facilities supports the enhancement of townscapes (SA9). • Access to services and facilities provides encouragement for the retention of young people (SA10) and Welsh speakers (SA11) within the County, and supports sustainable economic growth throughout Carmarthenshire (SA14).
SO5	<ul style="list-style-type: none"> • This objective directly aligns with SA8. • Both SO4 and SA9 promote the reuse of derelict land and redundant buildings and the enhancement of local townscapes. • This objective also aligns with SA7 as it offers potential to ensure brownfield sites are redeveloped, and minimises development of greenfield sites and river corridors where soils of high agricultural value are located • Safeguarding and enhancement of the built and historic environment ensures that Welsh cultural assets are protected (SA11) and are accessible to people in Carmarthenshire for wellbeing purposes (SA12).
SO6	<ul style="list-style-type: none"> • Limits the potential for extensive rural development and resulting habitat fragmentation (SA2) as development is concentrated in sustainable locations. • Needs provided locally reduces the distances people are required to travel and increases access to public transport (SA4, SA6), contributing to reducing the reliance on the private car which leads to positive impacts on air quality (SA3). • It also ensures that development is focussed in areas with existing infrastructure to support development e.g water resources (SA5), access to health, education and training facilities (SA12, SA13, SA15). • Encouraging the reuse of previously developed land aligns positively with SA9 and SA7.
SO7	<ul style="list-style-type: none"> • The objective directly aligns with SA4. • Tackling the causes of climate change aligns positively with promoting access to alternative transportation and public transport infrastructure (SA6) and as a result can have positive effects on other elements such as air quality (SA3).

	<ul style="list-style-type: none"> Adapting to the effects of climate change includes making space for water and minimising flood risks (SA5). Promotion of efficient use and safeguarding of resources also aligns positively with SA6.
SO8	<ul style="list-style-type: none"> Establishing an accessible and sustainable transport system, including alternative transport methods aligns positively with improving air quality (SA3) and reducing greenhouse gas emissions (SA4) The objective aligns directly with SA6 Access to public transport promotes the inclusion of disadvantaged groups in society (SA10, SA15), allowing them to access facilities and services regardless of social situation. Encouragement of alternative methods of transportation such as walking and cycling aligns positively with SA12.
SO9	<ul style="list-style-type: none"> Carmarthenshire's biodiversity, natural environment (SA2), cultural heritage (SA8) and unique landscape (SA9) all contribute to a sense of place and should be protected. Creating a strong sense of place and vibrant communities within Carmarthenshire are important the retention of young people in the county (SA10). The County has a strong Welsh identity that must be protected and enhanced (SA11) to maintain Carmarthenshire's distinctiveness and character. Placemaking should improve social fabric by removing barriers and creating opportunities for positive interactions, especially for disadvantaged and minority groups in society (SA10, SA15).
SO10	<ul style="list-style-type: none"> Provision for a mix of high quality homes across the county aligns positively with both SA8 and SA9. Equality of opportunities will ensure that disadvantaged and minority groups as well as young people are given the opportunity to access suitable housing across the county (SA10, SA15), which may also lead to the retention of Welsh speaking residents in the County (SA11).
SO11	<ul style="list-style-type: none"> This objective directly aligns with SA11 and SA15. Aligns positively with SA10, as Carmarthenshire's population has a strong Welsh identity, with a high proportion of the population born in Wales. Promotion of the Welsh language will positively impact on levels of Welsh literacy (SA13).
SO12	<ul style="list-style-type: none"> Proposed plans for the support the regional delivery of the Swansea Bay City deal focusses new developments in Llanelli and Carmarthen, both of which have a number of sensitive biodiversity (SA2) and air quality (SA3) and water quality (SA5) areas which could be negatively impacted. Creation of employment opportunities in both rural and urban areas throughout the county may lead to a positive reduction in the requirement for private car use for outward commuting (SA4/SA6). However, initial plans for

	<p>developments situated in Carmarthen and Llanelli do not currently support this.</p> <ul style="list-style-type: none"> • It is difficult to determine what effect this objective will have on SA11 as economic development and the resulting job creation has the potential to retain skilled Welsh speaking residents in the County. However, this may also encourage an inward migration of non-Welsh speakers to the county, which could dilute the Welsh speaking culture in Carmarthenshire. • This objective will have a positive effect on job creation, which in turn will promote economic growth and sustainable business in Wales (SA14). • This will also contribute towards the education, upskilling and retention of young people and professionals within Carmarthenshire (SA10/SA13) as good quality employment opportunities are made available for all sections of the population (SA15). • The plans for a life science and wellbeing village as part of the Swansea Bay City deal will be a strong positive driver of Health and wellbeing throughout Carmarthenshire.
SO13	<ul style="list-style-type: none"> • Increasing levels of tourism in the county has the potential to increase recreational pressure on some of Carmarthenshire's biodiversity and cultural heritage designated sites, in particular coastal and marine sites with high recreational value (SA2/SA5/SA8). • The increasing traffic pressures associated with tourism is likely to have a negative impact on areas with existing air quality issues as well as habitats/species that are sensitive to such pressures (SA2/SA3). • Provision for year round tourism related initiatives is likely to result in an increase in employment and associated education, skills and training opportunities (SA13), which in turn will have a positive effect on the local economy (SA14) and the retention of young people in the county (SA10)
SO14	<ul style="list-style-type: none"> • Ensuring new development is supported by sufficient hard and soft infrastructure ensures that water resources are used sustainably and that systems have sufficient capacity to deal with sewerage and diffuse pollution.(SA5) • It is also likely that SO14 will positively align with SA3, SA4 and SA6 in encouraging needs to be met locally and reducing the need to travel to access facilities and services. • This objective is likely to have a positive alignment with increased access to services, in particular for those disadvantaged or minority groups in society (SA10/SA15). • It is also likely to support access to wellbeing facilities and services (SA12) as well as education, skills and training facilities and quality employment opportunities (SA14).

Figure 3 Testing of Revised LDP Strategic Objectives against the Sustainability Objectives framework

Vision and objectives	SA1	SA2	SA3	SA4	SA5	SA6	SA7	SA8	SA9	SA10	SA11	SA12	SA13	SA14	SA15
Vision	+	+	?	?	?	+	?	?	?	+		+	+	+	+
SO1	+	+	+	+	+							?			
SO2	+	?			?	+				+		+			+
SO3	+									+	+				+
SO4	+		+	+		+			+	+	+			+	+
SO5	+						+	+	+		+	+			
SO6	+	+	+	+	+	+	+		+			+	+		+
SO7	+		+	+	+	+									
SO8	+			+		+				+		+			+
SO9	+	+						+	+	+	+				+
SO10	+							+	+	+	+				+
SO11	+									+	+		+		+
SO12	+	-	-	?	-	?				+	?	+	+	+	+
SO13	+	-	-		-			-		+	?	+	+	+	
SO14	+		+	+	+	+				+		+	+	+	+

+	Positive alignment between Revised LDP Strategic Objective and Sustainability Objective
?	Unknown alignment between Revised LDP Strategic Objective and Sustainability Objective
	No direct link between Revised LDP Strategic Objectives and Sustainability Objective
-	Potential conflict between Revised LDP Strategic Objectives and Sustainability Objective

5. Appraisal of Strategic Options and Alternatives

The LDP must identify land use strategy and policy options to achieve its Vision. In formulating the Preferred Strategy variations in the overall levels of growth and the spatial distribution of new development were assessed

The SEA Directive requires an environmental report to describe and evaluate the environmental impacts of the plan 'and reasonable alternatives taking into account the objectives and the geographical scope of the plan' (Article 5.1), and to include 'an outline of the reasons for selecting the alternatives dealt with' (Annex 1h). The Welsh Assembly Government's LDP Manual explains that:

"The purpose of this task is to predict the social, environmental and economic effects of the options being considered in the LDP preparation process. The main technique is to predict both positive and negative effects of each option on the environmental baseline and objectives set out in the SA framework. The performance of each option can then be compared, taking account where necessary of the "business as usual" scenario, i.e. how sustainability would change under the current development plan" (Sec. 6.4.1).

The results of the SA of the Strategic Growth Options and the Spatial Options are discussed below.

Assessment of Strategic Growth Options

The revised Carmarthenshire Local Development Plan will need to consider population, housing and economic growth within the County over the fifteen year plan period. In order to inform the number of dwellings that will need to be provided for by the LDP, Edge Analytics were commissioned to provide a range of different demographic projection scenarios termed 'Strategic Growth Options'. The growth options and the trends on which they are based are summarised in Table 4 below.

The report considered the latest demographic evidence published by Welsh Government, the Office of National Statistics and the Office for Budget Responsibility, as well as drawing on existing economic strategies including the Swansea Bay City Deal⁶, Carmarthenshire's Strategic Regeneration Plan⁷ and Employment Sectoral Study⁸, linking economic growth, population change and housing.

The demographic scenarios considered by Edge Analytics include:

- WG 2014 based principal projection
- Long Term (16 years of migration data)
- Medium Term (10 years of migration data)
- Short Term (Last 6 years of migration data)
- Pre-Recession (pre 2008) migration data

⁶ https://www.swansea.gov.uk/media/7514/Swansea-Bay-City-Region-Economic-Regeneration-Strategy/pdf/Swansea_Bay_City_Region_Economic_Regeneration_Strategy.pdf

⁷ <https://www.carmarthenshire.gov.wales/media/1212060/strategic-regeneration-plan-for-carmarthenshire-2015-2030-pdf.pdf>

⁸ <http://www.carmarthenshire.gov.wales/media/1212564/employment-sectoral-study-final-english-1.pdf>

They also considered two employment-led scenarios:

- Fixed Commuter Rate
- Reducing Commuter Rate

The demographic scenarios take into consideration trends in population, migration, household membership, births and deaths and the vacancy rate of current housing in Carmarthenshire in order to project population change and how many dwellings will be needed over the revised LDP plan period. It is the timescales over which these trends are considered that result in the different scenarios listed above.

Household and dwelling growth under the demographic scenarios has been estimated using assumptions from the WG 2014-based household projection model in conjunction with a percentage vacancy rate, which takes into account the number of vacant properties or second homes in Carmarthenshire. The 2011 Census records a vacancy rate of 6.3%¹ for Carmarthenshire, however more recent statistics from Welsh Government and council tax data indicate a lower dwelling vacancy rate for Carmarthenshire of 3.4%, which is the rate used in this analysis.

The employment-led scenarios include these factors but attempt to link changes in population to employment growth. To do this, they also consider rates of economic activity, employment and the balance between the size of the resident workforce and local employment (commuting ratio).

The summary of the resulting projections is provided in Table 5.

The growth options should be compared against a 'business as usual' scenario which is considered as the baseline. For a revised LDP, business as usual will mean a continuation of an existing plan or programme, as an alternative to preparing a new one. The current LDP makes provision for 1,013 dwellings to be delivered per year, based on Welsh Government 2008 projection levels.

The social, environmental and economic effects and overall sustainability of each option was tested against the SA framework. A summary of the assessment is shown in Figure 4. A commentary on the main impacts of each option are discussed in Table 6.

Table 5 Carmarthenshire Demographic Scenario Projections 2018-2033

Growth Option 1: Welsh Government 2014 based			
This option is based on migration assumptions on a five year period between 2009/10 and 2013/14, which recorded notably lower net in migration to Carmarthenshire.			
Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
1.7%	4.0%	224	3,367

Growth Option 2: Welsh Government (based on 10 year average migration data)			
This option replicates the WG 2014-based 10yr average migration variant population projection. Migration assumptions are based on the ten year period prior to 2014 (i.e. 2004/05–2013/14).			
Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
5.8%	7.7%	436	6,542

Growth Option 3: Short Term (based on 6 years of migration data)			
This option is based on internal migration rates and international migration flow based on a six year historical period (2011/12 – 2016/17). This is a similar time period to that covered in Option 1, however includes the most recent three years of data. This option results in the lowest population change over the plan period, as a result of the lower net migration flows evident in 2011/12-2013/14.			
Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
5.7 %	8.4 %	470	7,044

Option 4: Medium Term (based on 10 years of migration data)			
This option is based on internal migration rates and international migration flow based on a ten year historical period between 2007/08 and 2016/17.			
Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
6.3%	8.6%	482	7,236

Option 5 Long Term (based on 16 years of migration data)			
This option is based on internal migration rates and international migration flow based on a sixteen year historical period (2001/02 – 2016/17). This provides some 'smoothing' of annual peaks and troughs. Under this scenario, higher net migration flows are estimated, resulting in a higher population change and subsequent dwelling growth.			
Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
9.4 %	11.7 %	659	9,887

Option 6: Pre-Recession (based on pre-2008 data)			
This option is based on internal migration rates and international migration flow assumptions are based on the period pre-2008 recession (2001/02 – 2007/08), in which higher in-migration flows to Carmarthenshire were recorded. As a result, estimations of future net migration is highest under this option.			

Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
14.2%	16.6 %	939	14,090

Option 7: Commuter Rate (CR) Reducing

This option assumes a reduction in the commuting ratio from 1.09 to 1.06 by the end of the plan period

Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
19.3%	20.5%	1,160	17,396

Option 8: Commuter Rate (CR) Fixed

This option applies the 2011 Census commuting ratio of 1.09, fixed throughout the plan period.

Change over plan period (2018 – 2033)		Dwellings Required	
Population (%)	Households (%)	Annually	Total over plan period
22.2%	23.2%	1,313	19,690

Figure 4 Testing of Strategic Growth Options against the Sustainability Objectives framework

Growth Option	SA1 Sustainable Development	SA2 Biodiversity	SA3 Air Quality	SA4 Climatic Factors	SA5 Water	SA6 Material Assets	SA7 Soil	SA8 Cultural Heritage and Historic Environment	SA9 Landscape	SA10 Population	SA11 Welsh Language	SA12 Health and Well-being	SA13 Education and Skills	SA14 Economy	SA15 Social Fabric
Option 1 224 dwellings a year	-	+/-	+/-	+/-	+		+	I	I	++	-	++	?	++	++
Option 2 436 dwellings a year	-	+/-	+/-	+/-	+		+/-	I	I	-	-	-	?	-	-
Option 3 470 dwellings a year	-	+/-	+/-	+/-	+		+/-	I	I	-	-	-	?	-	-
Option 4 482 dwellings a year	-	+/-	+/-	+/-	+		+/-	I	I	-	-	-	?	-	-
Option 5 659 dwellings a year	+	+/-	+/-	+/-	+		+/-	I	I	+	+	?	?	+	+
Option 6 939 dwellings a year	+	+/-	+/-	+/-	-		+/-	I	I	+	+	?	?	+	+
Option 7 1,160 dwellings a year	-	-	-	-	-		-	I	I	+	+/-	+	?	++	+
Option 8 1,313 dwellings a year	-	-	-	-	++		-	I	I	+	+/-	+	?	++	+

Table 6 Sustainability Commentary for the Strategic Growth Options

Option 1 – Welsh Government 2014 based		
<p>This option is based on migration assumptions on a five year period between 2009/10 and 2013/14, which recorded notably lower net in migration to Carmarthenshire.</p> <p>Population Change</p> <ul style="list-style-type: none"> This option sees a net outflow of -282 persons in the 15-19 age group per year from the County, over the plan period. This is linked to out-migration for higher education opportunities. This option will see a decrease in 0-15 and 16-64 age groups by -4% and -7% respectively over the plan period. This option would see an increase of 28% in 65+ age group and 66% increase in 80+ age group over the plan period. This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 56% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018. <p>Employment Growth</p> <ul style="list-style-type: none"> This option would support an employment growth of -55 jobs per year. This is significantly less than the projected annual employment growth of +1,182, estimated in Carmarthenshire's Employment Sectoral Study. This reflects a decline in the labour force projected over the plan period, driven by an aging population and lower in-migration. 		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is unlikely to contribute towards a sustainable economy or supporting a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. However, this option sees a decrease in the number of dwellings required from the current LDP number of 1,013, to 231 per year which would significantly reduce the need for development on greenfield land and resulting pressure on biodiversity assets in the county.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is significantly lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	+	This growth option projects a household growth of 4.0%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh

		Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	+	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is significantly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed
SA10 – Population	--	This option sees a significant decline in the number of young people in the County, with a decrease of 1,373 in the 0-15 year age groups and 7,735 in the 16-64 year age group over the plan period.
SA11 – Welsh Language	-	This option will see a drastic decline in young people in the County over the plan period, which is likely to result in a decline of Welsh speakers, most of which are taught Welsh through the education system.
SA12 – Health and Well-being	--	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a decline in the population of school going age which has the potential to ease pressure on the education system in areas that are near capacity. However, lower demand for school places may result in some education facilities closing due to declining pupil numbers.
SA14 – Economy	--	This option sees a decline in employment growth, as a result of the projected decline of the labour workforce under this option. A low level of growth will have a significant impact on local building trade.
SA15 – Social Fabric	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County. This could affect accessibility to services, particularly for disadvantaged sections of society. Low growth will also reduce contribution of the LDP to affordable housing.

Option 2 –Welsh Government (based on 10 year average migration data)

This option is based on migration assumptions on a ten year period prior to 2014 (2011/12 – 2016/17)

Population Change

- This option sees a net outflow of -358 persons in the 15-19 age group per year from the County, over the plan period. This is linked to out-migration for higher education opportunities.
- This option will see an increase in 0-15 age cohort of 1% by a decrease of -2% of 16-64 age groups.
- This option would see an increase of 29% in 65+ age group and 67% increase in 80+ age group over the plan period.
- This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 53% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018.

Employment Growth

- This option would support an employment growth of +198 jobs per year. This is significantly lower than the projected annual employment growth of +1,182 in Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is unlikely to contribute towards a sustainable economy or supporting a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. However, this option sees a decrease in the number of dwellings required from the current LDP number of 1,013, to 436 per year which would significantly reduce the need for development on greenfield land and resulting pressure on biodiversity assets in the county.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	+	This growth option projects a household growth of 7.7%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.

SA6 – Material Assets		No direct link
SA7 - Soil	+/-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is significantly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	-	This option sees a decrease of young people across the plan period, which, matched by significant increases in the 65+ age cohort does not result in a balanced population demographic.
SA11 – Welsh Language	-	This option will see a decline in young people in the County over the plan period, which is likely to result in a decline of young Welsh speakers that currently make up the highest proportion of Welsh speakers in the County.
SA12 – Health and Well-being	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a decline in the population of school going age which has the potential to ease pressure on the education system in areas that are near capacity. However, lower demand for school places may result in some education facilities closing due to declining pupil numbers.
SA14 – Economy	-	This option sees an increase in employment growth, however there is still a projected decline of the labour workforce under this option.
SA15 – Social Fabric	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County. This could affect accessibility to services, particularly for disadvantaged sections of society. Low growth will also reduce contribution of the LDP to affordable housing.

Option 3 – Population Growth (PG) Short Term

This option is based on internal migration rates and international migration flow based on a six year historical period (2011/12 – 2016/17). This is a similar time period to that covered in Option 1, however includes the most recent three years of data. This option results in the lowest population change over the plan period, as a result of the lower net migration flows evident in 2011/12-2013/14.

Population Change

- This option sees a net outflow of -358 persons in the 15-19 age group per year from the County, over the plan period. This is linked to out-migration for higher education opportunities.
- This option will see a decrease in 0-15 and 16-64 age groups by -2% and -4% respectively over the plan period.
- This option would see an increase of 35% in 65+ age group and 71% increase in 80+ age group over the plan period.
- This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 56% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018.

Employment Growth

- This option would support an employment growth of +126 jobs per year. This is significantly lower than the projected annual employment growth of +1,182 in Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is unlikely to contribute towards a sustainable economy or supporting a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. However, this option sees a decrease in the number of dwellings required from the current LDP number of 1,013, to 484 per year which would significantly reduce the need for development on greenfield land and resulting pressure on biodiversity assets in the county.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is significantly lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	+	This growth option projects a household growth of 8.4%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh

		Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	+/-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is significantly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	-	This option sees a decline in the number of young people in the County, with a decrease of 533 in the 0-15 year age groups and 4,126 in the 16-64 year age group over then plan period.
SA11 – Welsh Language	-	This option will see a decline in young people in the County over the plan period, which is likely to result in a decline of young Welsh speakers that currently make up the highest proportion of Welsh speakers in the County.
SA12 – Health and Well-being	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a decline in the population of school going age which has the potential to ease pressure on the education system in areas that are near capacity. However, lower demand for school places may result in some education facilities closing due to declining pupil numbers.
SA14 – Economy	-	This option sees an increase in employment growth, however there is still a projected decline of the labour workforce under this option.
SA15 – Social Fabric	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County. This could affect accessibility to services, particularly for disadvantaged sections of society. Low growth will also reduce contribution of the LDP to affordable housing.

Option 4 – Population Growth (PG) Medium Term

This option is based on internal migration rates and international migration flow based on a ten year historical period between 2007/08 and 2016/17.

Population Change

- This option sees a net outflow of -330 persons in the 15-19 age group per year from the County, over the plan period. This is linked to out-migration for higher education opportunities.
- This option will see a 1% increase in 0-15 age groups but a decrease of -3% of 16-64 age groups over the plan period.
- This option would see an increase of 33% in 65+ age group and 72% increase in 80+ age group over the plan period.
- This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 55% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018.

Employment Growth

- This option would support an employment growth of +178 jobs per year. This is significantly lower than the projected annual employment growth of +1,182 in Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is unlikely to contribute towards a sustainable economy or supporting a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. However, this option sees a decrease in the number of dwellings required from the current LDP number of 1,013, to 497 per year which would significantly reduce the need for development on greenfield land and resulting pressure on biodiversity assets in the county.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	+	This growth option projects a household growth of 8.6%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link

SA7 - Soil	+/-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is significantly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	-	This option sees a decrease of young people across the plan period, which, matched by significant increases in the 65+ age cohort does not result in a balanced population demographic.
SA11 – Welsh Language	-	This option will see a decline in young people in the County over the plan period, which is likely to result in a decline of young Welsh speakers that currently make up the highest proportion of Welsh speakers in the County.
SA12 – Health and Well-being	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a decline in the population of school going age which has the potential to ease pressure on the education system in areas that are near capacity. However, lower demand for school places may result in some education facilities closing due to declining pupil numbers.
SA14 – Economy	-	This option sees an increase in employment growth, however there is still a projected decline of the labour workforce under this option.
SA15 – Social Fabric	-	This option sees high growth in the 65+ age cohort, coupled with a decline in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County. This could affect accessibility to services, particularly for disadvantaged sections of society. Low growth will also reduce contribution of the LDP to affordable housing.

Option 5– Population Growth (PG) Long Term

This option is based on internal migration rates and international migration flow based on a sixteen year historical period (2001/02 – 2016/17). This provides some 'smoothing' of annual peaks and troughs. Under this scenario, higher net migration flows are estimated, resulting in a higher population change and subsequent dwelling growth.

Population Change

- This option will see an increase in 0-15 and 16-64 age groups by +3% and +1% respectively over the plan period.
- This option would see an increase of 36% in 65+ age group and 75% increase in 80+ age group over the plan period.
- This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 54% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018.

Employment Growth

- This option would support an employment growth of +353 jobs per year. This is lower than the projected annual employment growth of +1,182 in Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This option is likely to contribute positively to supporting a sustainable economy and a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. This option sees a decrease in the number of dwellings required from the current LDP number of 1,013, to 680 per year which may alleviate pressure somewhat on biodiversity assets.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	+	This growth option projects a household growth of 11.7%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	+/-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required

		under this growth option is significantly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	+	This option goes some way to addressing the balance of the population, with an increase projected in the 0-15 and 16-64 age groups.
SA11 – Welsh Language	+	Increasing numbers of young people is likely to have a positive effect on the Welsh language as more young people are educated through the medium of Welsh in the County.
SA12 – Health and Well-being	?	This option sees high growth in the 65+ age cohort, coupled with low growth in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a projected increase in the population of school going ages which has the potential to increase pressure on the education services in areas that are near capacity. However, increased demand for school places may result in some education facilities being able to remain open if pupil numbers increase.
SA14 – Economy	+	This option falls short of reaching the growth target set out in Carmarthenshire's Employment Sectoral study. However, this option sees increases in labour workforce ages which go some way to balancing the increase in 65+ age groups.
SA15 – Social Fabric	+	This option sees high growth in the 65+ age cohort, coupled with increases in the labour workforce age groups which would go some way to balancing the population in the County. Higher growth levels will also support contribution of the LDP to affordable housing.

Option 6 – Population Growth (PG) Pre-Recession

This option is based on internal migration rates and international migration flow assumptions are based on the period pre-2008 recession (2001/02 – 2007/08), in which higher in-migration flows to Carmarthenshire were recorded. As a result, estimations of future net migration is highest under this option.

Population Change

- This option will see an increase in 0-15 and 16-64 age groups by +8% and +6% respectively over the plan period.
- This option would see an increase of 40% in 65+ age group and 82% increase in 80+ age group over the plan period.
- This option sees a move to a more elderly population on balance, with the number of people aged 65+ equivalent to 53% of the labour workforce (ages 16-64) by 2033. This is an increase from 40% in 2018.

Employment Growth

- This option would support an employment growth of +632 jobs per year. This is lower than the projected annual employment growth of +1,182 in Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This option is likely to contribute positively to supporting a sustainable economy and a healthy, balanced society.
SA2 – Biodiversity	+/-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. This option sees a slight decrease in the number of dwellings required from the current LDP number of 1,013, to 969 per year which may alleviate pressure somewhat on biodiversity assets.
SA3 – Air Quality	+/-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is lower than the current LDP requirement and so may alleviate some pressure on areas of poor air quality.
SA4 – Climatic Factors	+/-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is significantly lower than the current requirement and so may result in less greenhouse gas emissions.
SA5 – Water	-	This growth option projects a household growth of 16.6%, which is above the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	+/-	Any development infers the loss of soil/permeable surfaces to hard standing.

		However, the number of dwellings required under this growth option is slightly lower than the current LDP requirement and so loss of high quality soils and greenfield land to non-permeable surfaces will be reduced.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	+	This option goes some way to addressing the balance of the population, with an increase projected in the 0-15 and 16-64 age groups.
SA11 – Welsh Language	+	Increasing numbers of young people is likely to have a positive effect on the Welsh language as more young people are educated through the medium of Welsh in the County.
SA12 – Health and Well-being	?	This option sees high growth in the 65+ age cohort, coupled with low growth in the labour workforce age groups which could result in significant challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a projected increase in the population of school going ages which has the potential to increase pressure on the education services in areas that are near capacity. However, increased demand for school places may result in some education facilities being able to remain open if pupil numbers increase.
SA14 – Economy	+	This option falls short of reaching the growth target set out in Carmarthenshire's Employment Sectoral study. However, this option sees increases in labour workforce ages which begins to balance increases in 65+ age groups.
SA15 – Social Fabric	+	This option sees high growth in the 65+ age cohort, coupled with increases in the labour workforce age groups which would go some way to balancing the population in the County. Higher growth levels will also support contribution of the LDP to affordable housing.

Option 7 – Commuting Ratio (CR) Reducing

This option considers the population and housing implications of Carmarthenshire's Employment Sectoral Study, which estimates an average annual employment growth of +1,182 per annum. This option applies the 2011 Census commuting ratio, but assumes a reduction from 1.09 to 1.06 by the end of the plan period.

Population Change

- This option will see an increase in population of 19.3% over the plan period.
- This option would see a net-in migration of 2,483 per year.
- This would result in a requirement of 1,196 dwellings per year throughout the plan period, in order to support the 1,182 jobs per year estimated by Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is not likely to result in a sustainable level of development in the County.
SA2 – Biodiversity	-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. This option sees an increase in the number of dwellings required from the current LDP number of 1,013, to 1,196 per year which may place additional pressure on biodiversity assets.
SA3 – Air Quality	-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is higher than the current LDP requirement and so is likely to increase pressures on air quality.
SA4 – Climatic Factors	-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is higher than the current LDP requirement and so is likely to result in an increase in greenhouse gas emissions.
SA5 – Water	-	This growth option projects a household growth of 20.5%, which is above the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is above that of the current LDP requirement and so may result in an increase of loss of high quality soils and greenfield land to non-permeable surfaces.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed.

SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	+	This option would see a high number dwellings required to accommodate high employment growth. This is likely to provide an attractive housing and employment market for young people in the County.
SA11 – Welsh Language	+/-	This option would see high housing and employment growth which is likely to create an attractive market by which to retain young people in the County. Higher in migration has the potential to dilute the Welsh language.
SA12 – Health and Well-being	+	This option would see a high number dwellings required to accommodate high employment growth. Which are likely to help retain and grow the labour workforce age groups and may address challenges in the funding and delivery of health and social care services throughout the County.
SA13 – Education and Skills	?	This option sees a projected increase in the population of school going ages which has the potential to increase pressure on the education services in areas that are near capacity. However, increased demand for school places may result in some education facilities being able to remain open if pupil numbers increase.
SA14 – Economy	++	This option aligns with the target set out in Carmarthenshire's Employment Sectoral study, supporting the level of employment growth projected for the County over the plan period. This option would see increases in labour workforce ages which begins to balance increases in 65+ age groups.
SA15 – Social Fabric	+	This option sees high growth in the 65+ age cohort, coupled with increases in the labour workforce age groups which would go some way to balancing the population in the County. Higher growth levels will also support contribution of the LDP to affordable housing.

Option 8 – Commuting Ratio (CR) Fixed

This option considers the population and housing implications of Carmarthenshire's Employment Sectoral Study, which estimates an average annual employment growth of +1,182 per annum. This option applies the 2011 Census commuting ratio of 1.09, fixed throughout the plan period.

Population Change

- This option will see an increase in population of 22.2% over the plan period.
- This option would see a net-in migration of 2,814 per year.
- This would result in a requirement of 1,354 dwellings per year throughout the plan period, in order to support the 1,182 jobs per year estimated by Carmarthenshire's Employment Sectoral Study.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	-	This option is not likely to result in a sustainable level of development in the County.
SA2 – Biodiversity	-	The choice of site and the manner in which they are developed will influence the impact of this growth option on SA2. This option sees an increase in the number of dwellings required from the current LDP number of 1,013, to 1,354 per year which may place additional pressure on biodiversity assets.
SA3 – Air Quality	-	Any level of growth infers increasing transport and economic activity. However, the number of dwellings required under this option is higher than the current LDP requirement and so is likely to increase pressures on air quality.
SA4 – Climatic Factors	-	Any level of growth infers increasing transport and economic activity, with associated carbon emissions. However, the number of dwellings required under this option is higher than the current LDP requirement and so is likely to result in an increase in greenhouse gas emissions.
SA5 – Water	--	This growth option projects a household growth of 23.2%, which is above the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets		No direct link
SA7 - Soil	-	Any development infers the loss of soil/permeable surfaces to hard standing. However, the number of dwellings required under this growth option is above that of the current LDP requirement and so may result in an increase of loss of high quality soils and greenfield land to non-permeable surfaces.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this option with SA8 is dependent on the choice of sites and manner in which they are developed.

SA9 – Landscape	I	The alignment of this option with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	+	This option would see a high number dwellings required to accommodate high employment growth. This is likely to provide an attractive housing and employment market for young people in the County.
SA11 – Welsh Language	+/-	This option would see high housing and employment growth which is likely to create an attractive market by which to retain young people in the County. Higher in migration has the potential to dilute the Welsh language.
SA12 – Health and Well-being	+	This option would see a high number dwellings required to accommodate high employment growth. Which are likely to help retain and grow the labour workforce age groups and may address challenges in the funding and delivery of health and social care services throughout the County
SA13 – Education and Skills	?	This option sees a projected increase in the population of school going ages which has the potential to increase pressure on the education services in areas that are near capacity. However, increased demand for school places may result in some education facilities being able to remain open with increasing pupil numbers.
SA14 – Economy	++	This option aligns with the target set out in Carmarthenshire's Employment Sectoral study, supporting the level of employment growth projected for the County over the plan period. This option would see increases in labour workforce ages which begins to balance increases in 65+ age groups.
SA15 – Social Fabric	+	This option sees high growth in the 65+ age cohort, coupled with increases in the labour workforce age groups which would go some way to balancing the population in the County. Higher growth levels will also support contribution of the LDP to affordable housing.

SA of Growth Options - Summary

In summary, the Growth Options present the following issues and opportunities:

- **Growth Options 1 and 2** perform better with regard to preserving the County's natural environmental resources. However neither option sufficiently address existing socio-economic issues within the County, including the need for affordable housing, accessibility to community and health facilities and the retention of young people. Both options also provide for significantly lower employment growth than that projected in the Councils, Employment Sectoral study, and would not provide sufficient employment opportunities. The level of growth under Options 4 and 5 are more likely to deliver these social and economic benefits.
- **Options 4 and 5** have the most potential for negative environmental impacts, compared to other options. These impacts could be mitigated by sustainable site selection and sensitive implementation, with consideration for Carmarthenshire's largely rural landscape and habitats of high biological value.
- All options have the potential to impact negatively on the County's air quality due to increased transport and economic activity. Again, these impacts can be mitigated by sustainable site location with sufficient access to public transport. It is also important that Green Infrastructure (GI) is considered and where possible protected as GI assets can have air purification functions.
- All options support growth in the population and are therefore likely to contribute to increases in consumption, waste and other activities such as transport. This could be addressed through sustainable design, integrating sustainable waste and transport solutions into new development. Protecting green infrastructure is also important to mitigate the effects of growth across the County, providing important carbon sink functions as well as providing land drainage and cooling effects.
- All of the options have the potential to impact negatively on historic and cultural assets and landscape, depending on the selection of sites and implementation of development. These impacts could be mitigated by ensuring that design of new developments is sympathetic to local character and distinctiveness, and that the cultural and historic assets are protected.

Sustainability Appraisal of Spatial Options

The Council has identified and developed a range of strategic spatial options which demonstrate different ways in which the strategic objectives can be achieved, whilst best reflecting development needs and constraints, and supporting the aims of other international, national and local level strategies, plans and policies.

The development of these options has been informed by the available baseline evidence, as well as stakeholder views and the integrated objectives. These options are based on an understanding of the development potential of the County and the need to accommodate future growth requirements. In developing the options regard has also been had to the Well-Being of Future Generations (Wales) Act 2015 and the wellbeing objectives developed by Carmarthenshire County Council and the Public Service Board.

The options identified assume that housing development without employment opportunities in the same broad location, and vice versa, is less sustainable and is to be avoided. Similarly, infrastructure improvements need to be aligned with new development, including improvements to transport networks, utilities, green infrastructure, health, education and social facilities. Consequently, the term 'development' is used in the Spatial Options for Growth to refer to the balance of housing, employment opportunities and the accompanying infrastructure.

The SA process helps to inform the selection of the spatial strategy contained in the Preferred Strategy and provides a mechanism through which reasonable alternatives are considered. It is acknowledged that following SA appraisal, no single option may be considered as 'preferable' and there is scope and flexibility for options to be adapted and new option to be devised, that may be a combination of existing options.

The spatial options have been assessed against the sustainability objectives and a detailed commentary is presented in the subsections below. Figure 5 summarises the results of the appraisal but note does not consider the effects of existing or potential mitigation. In the absence of certainty that mitigation measures would be implemented and be successful, a precautionary approach has been taken to the appraisal. A detailed commentary is provided on pages 41 – 63. Suggested mitigation measures to reduce negative impacts are discussed in Section 7 of this report.

Figure 5 Summary of the Sustainability Appraisal of the Spatial Options

SA Objective	Option 1	Option 2	Option 3	Option 4	Option 5	Option 6
SA1 Sustainable Development	+	-	-	+	?	?
SA2 Biodiversity		+			+	
SA3 Air Quality	-	-	-	-	-	-
SA4 Climatic Factors	+/-	+/-	+/-	+/-	-	-
SA5 Water	+/-	+	-	+	-	-
SA6 Material Assets	+	-	-	+	-	-
SA7 Soil		+	-		+	+
SA8 Cultural Heritage						
SA9 Landscape			-			
SA10 Population	++	-	-	++	+/-	+/-
SA11 Welsh Language	+	-	-	+	+/-	-
SA12 Health and Wellbeing	+	-	-	++	+/-	+/-
SA13 Education and Skills	+	-	-	+	++	?
SA14 Economy	+	-	-	+	++	?
SA15 Social Fabric	+	-	-	++	-	-



This option focusses growth proportionally across a hierarchy underpinned by the principles of sustainability. In doing so, this option:

- Encourages the dispersal of employment, housing and other types of development to identified settlements and village groups or clusters in a manner reflective of their existing scale, population and availability of facilities and services.
- Reflects the diversity of the County and growth is apportioned appropriately to urban and rural use areas.
- Focusses the majority of employment growth in larger towns and villages.

SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climatic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic Environment	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall
S1	S	+	+	+	+	-	+	-	+	+	+	+/-	+	+	+	+	+
	M	+	+	-	+	+/-	+	+	+	+	++	+	+	+	+	+	+
	L	+	+	-	+/-	+/-	++	+	+	+	++	+	+	+	+	+	+

Spatial Option 1 – Sustainability Commentary**SA1. Sustainable Development**

This option is likely to contribute positively to achieving a sustainable economy and addressing local need throughout the County.

SA2 Biodiversity

Limits the potential for extensive rural development and habitat fragmentation as development is concentrated within identified urban centres and rural clusters. Some urban growth areas such as Llanelli and Carmarthen are in close proximity to designated sites and focussed development in these areas will increase the potential for negative impacts. Some rural development will be required and uncertainty remains as to how this would impact biodiversity in the medium to long term. The choice of development sites and the manner in which they are developed would determine the way in which features of biodiversity importance would be affected.

Predicted Impacts: Short Term + Medium Term | Long Term |

SA3 Air Quality

Focus of development on urban centres and rural clusters based on need means that services can be provided locally, reducing the distances people are required to travel and increases access to public transport services. Concentrated development in urban growth areas may exacerbate air quality issues due to increasing congestion, in particular in the established AQMA's in Carmarthen, Llanelli and Llandeilo. It is predicted that it would lead to a negative effect in the medium to long term without mitigation measures.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA4 Climatic Factors

Focus of development on urban centres and rural clusters based on need means that services will be provided and retained locally, reducing the distances people are required to travel and increases access to public transport services. However, directing growth to urban growth areas has the potential to increase development in coastal areas such as Llanelli, Burry Port and Pembrey, which are partially or wholly within C1 and C2 areas and at a higher risk of flooding in the medium to long term.

Predicted Impacts: Short Term + Medium Term +/- Long Term +/-

SA5 Water

Limits the potential for development outside of previously developed areas, thereby minimising the risk to waterbodies and diffuse pollution. Increased concentration of development in existing urban centres and rural centres has the potential to increase pressure on water resources, in areas that have historically seen high levels of growth.

Predicted Impacts: Short Term - Medium Term +/- Long Term +/-

SA6 Material Assets

This spatial option increases the potential to encourage means to be met locally. It would also support the use of the public transport network and use of different modes of transport.

Predicted Impacts: Short Term + Medium Term + Long Term ++

SA7 Soil

Increasing development outside of urban growth areas increases the probability of greenfield land being used for development as opposed to the redevelopment of brownfield sites.

Predicted Impacts: Short Term - Medium Term I Long Term I

SA8 Cultural Heritage and Historic Environment

This option would reduce potential impacts on areas with less development with high numbers of cultural assets and townscapes. Concentrating development in urban centres and rural clusters may result in pressure on existing townscapes and archaeological heritage interests. The choice of development sites and the manner in which they are developed would determine the way in which features of cultural heritage importance would be affected.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

Development within existing settlements reduces the likelihood of features of landscape importance and natural landscapes being disturbed. This option does however, provide some flexibility to avoid sensitive areas, which would depend on choice of development sites and the manner in which they are developed

Predicted Impacts: Short Term + Medium Term I Long Term I

SA10 Population

Development distributed within identified urban centres and rural clusters based on need would support the viability of existing settlements and provide development including education and employment facilities where required. This option would also maximise the viability of existing public transport infrastructure and promote access based on distribution of local services.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++

SA11 Welsh Language

Locating development in urban and centres and rural clusters based on need would support the viability and growth of existing settlements, providing employment and education opportunities for Welsh speakers in the county, and helping to retain young Welsh speakers.

Predicted Impacts: Short Term +/- Medium Term + Long Term +

SA12 Health and Well-being

This option would encourage access to health services on a local basis and ensure that services are supported by the local population and accessible by alternative modes of transport to the private car.

Predicted Impacts: Short Term + Medium Term + Long Term +

SA13 Education and Skills

This option would encourage access to education services on a local basis and would maximise the use of public transport networks.

Predicted Impacts: Short Term + Medium Term + Long Term +

SA14 Economy

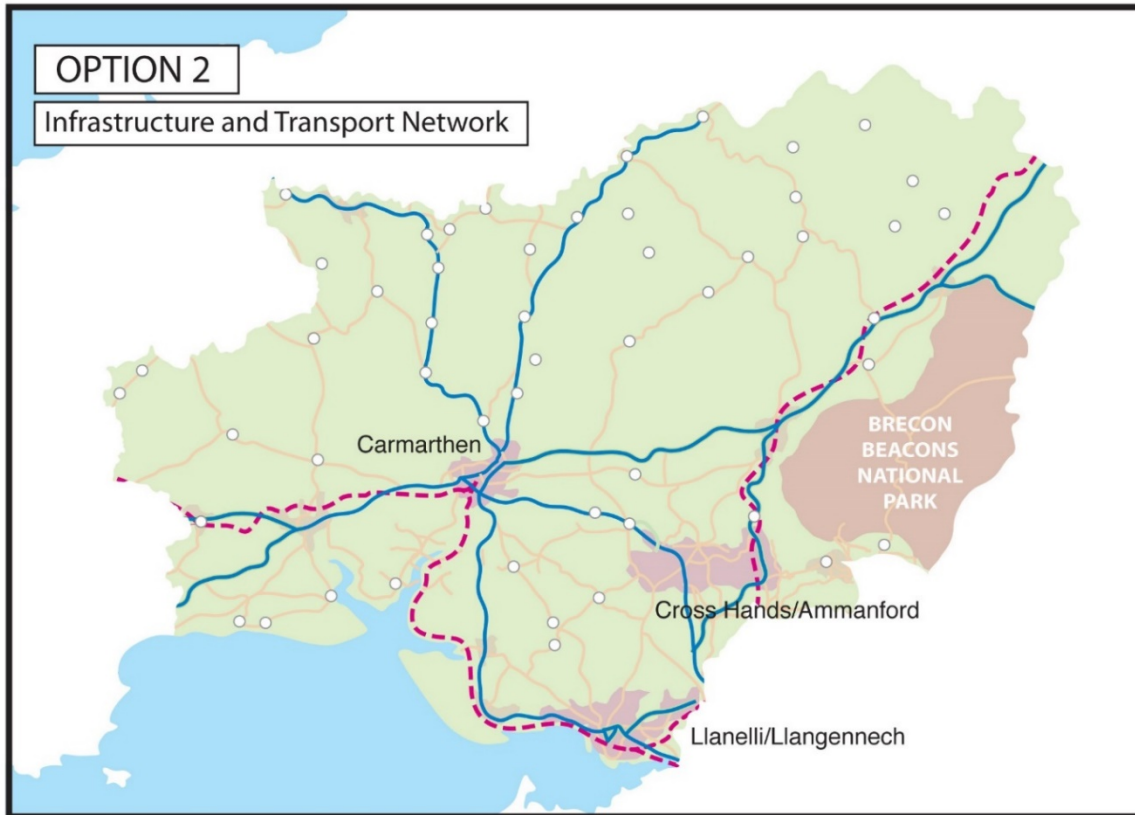
Development within existing urban centres and rural clusters would support existing economic development as well as supporting inward investment by creating viable economic centres supported by a local workforce and market. Concentrating development in areas where, previously development has been focussed may lead to a lack of economic growth in smaller rural communities

Predicted Impacts: Short Term Medium Term Long Term

SA15 Social Fabric

This option would largely support the delivery of services required by the local population. Access to services would be increased, and the future viability is likely to be enhanced, as the location of facilities is driven by identified need.

Predicted Impacts: Short Term Medium Term Long Term



This option looks at the existing provision of utility infrastructure and the highway network across the County and aims to focus the majority of growth in areas with the capacity for growth. This option seeks to encourage growth in areas which it can most feasibly be accommodated by:

- Encouraging growth along the key transport routes and junctions of the M4, A40, A48, A484, A474 and A485, as well as in locations accessible to other modes of transport including the rail network, cycle network and pedestrian linkages.
- Encouraging growth in areas where there is either current or planned capacity for the supply and treatment of water and waste water.
- Encouraging growth in areas where there are sufficient services and facilities to support communities.

Page 309 SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climatic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall
		+	+	+	+	+	+	+	+	+	-	+/-	+	+	+	-	+
		-	+	-	+/-	+	-	+	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Spatial Option 2 – Sustainability Commentary**SA1. Sustainable Development**

This option would address needs locally in the short term, however in the long term development would not be sustainable as it would lead to disparity between rural and urban economies and would not address the needs of rural communities.

SA2 Biodiversity

In the short term, it is likely that due to the avoidance of rural and greenbelt development, this option will have a largely positive effect on biodiversity. However, concentration of growth along transport corridors has the potential to encroach on green spaces and habitats, and direct growth to areas that have historically seen high levels of urbanisation, to the detriment of biodiversity.

Predicted Impacts: Short Term + Medium Term + Long Term -

SA3 Air Quality

Siting growth in locations accessible to alternative modes of transport will reduce the need for private car use, and therefore transport related pollutants. However, aligning development with transport corridors is likely to concentrate transport related emissions and pollutants to areas already at high risk of air quality objectives being compromised. This is of particular risk in Carmarthenshire's three existing AQMA's in Carmarthen, Llanelli and Llandeilo. .

Predicted Impacts: Short Term + Medium Term - Long Term --

SA4 Climatic Factors

Access to alternative modes of transport and growth in areas where there are sufficient services and facilities may reduce the need for private car use, leading to a reduction of greenhouse gas emissions. However, some major transport routes (e.g. A40) follow river corridors and focussed development in such areas is likely to fall somewhat within C1 and C2 flood zones. Focus of development in urban centres has the potential to increase development in coastal areas such as Llanelli, Burry Port and Pembrey, which are partially or wholly within C1 and C2 areas, which could result in climate related flooding in the long term.

Predicted Impacts: Short Term + Medium Term +/- Long Term -

SA5 Water

Focus of growth in areas with current or planned capacity for supply and treatment of water and waste water reduces the likelihood of negative impacts on water resources. However, increasing urbanisation of areas means an increase in hard standings which will result in high surface water runoff and associated pollution issues.

Predicted Impacts: Short Term + Medium Term + Long Term -

SA6 Material Assets

Concentration of development along transportation corridors is unlikely to encourage needs to be met locally, which could lead to an increase in the need to travel, especially in rural areas. However, focussing development along major transport routes would increase access to established public transport services and cycle routes, promoting the integration of different modes of transport.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA7 Soil

Development along transportation corridors may not favour the redevelopment of brownfield sites or contaminated land. Some major transport routes (e.g. A40) follow river corridors and focussed development in such areas may impact on land with high agricultural value. However this option will largely avoid rural development and is therefore less likely to impact on greenfield sites.

Predicted Impacts: Short Term + Medium Term + Long Term I

SA8 Cultural Heritage and Historic Environment

Focussed development along transportation corridors, would avoid impacting on more rural areas that have high quality cultural assets and townscapes. This option does limit provision to site development away from sites of cultural heritage importance and place increasing pressure in areas that have historically seen most development. The choice of development sites and the manner in which they are developed would determine the way in which features of cultural heritage importance would be affected in the medium to long term.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

Focussed development along transportation corridors would limit flexibility to take sensitive landscape locations into account when siting development, however this option would reduce the likelihood of impacts on rural and natural landscapes by siting growth in largely urban areas.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA10 Population

Development along transportation corridors is unlikely to address existing community needs and could increase the relative deprivation of areas currently facing social exclusion

Predicted Impacts: Short Term - Medium Term - Long Term --

SA11 Welsh Language

This option would see development directed to areas that have historically seen high levels of development. These areas may not have the potential to absorb changes in character and so Welsh language could be adversely effected.

Predicted Impacts: Short Term +/- Medium Term - Long Term -

SA12 Health and Well-being

Siting growth in areas with access to cycle networks and pedestrian linkages will encourage walking and cycling as alternative means of transport. However, development along transportation corridors is unlikely to address existing community needs which may result in an increase of private car use in the long term.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA13 Education and Skills

Development along transportation corridors is unlikely to result in equal access to education services between rural and urban areas, and will not address rural need in the medium to long term.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA14 Economy

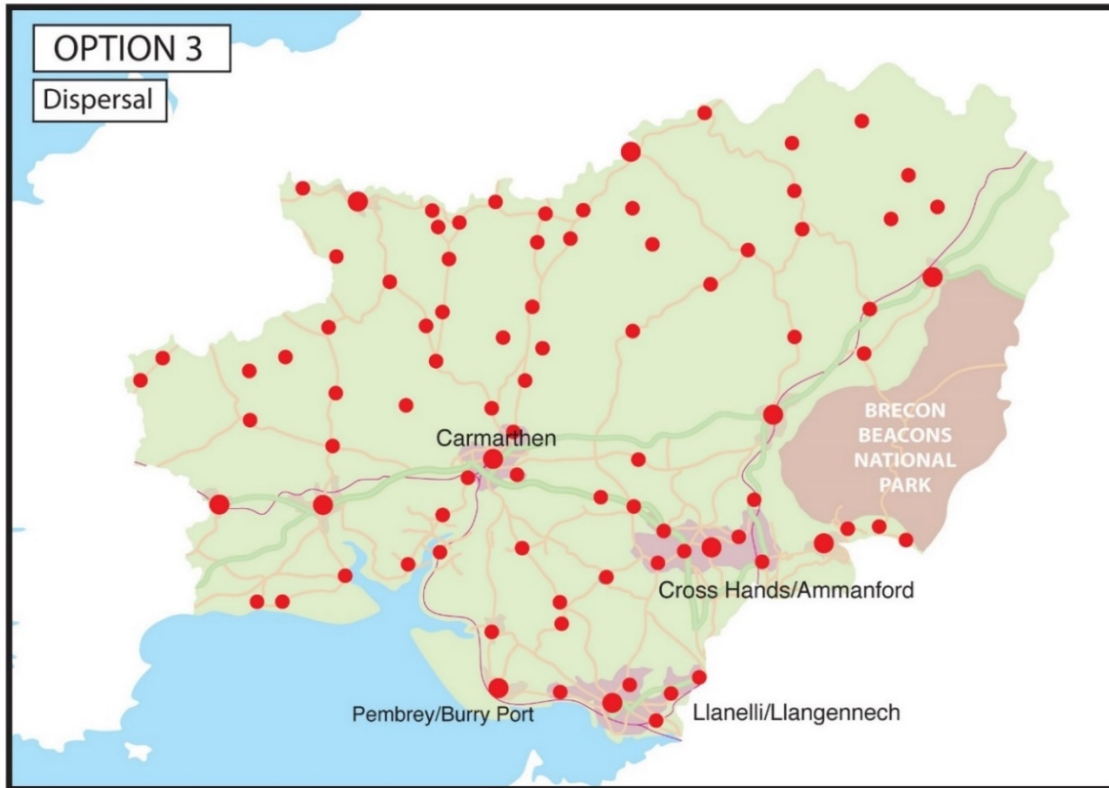
This option would site growth in areas that have previously seen population and employment growth and so aligns with existing market growth in the short term. Does not address economic issues in more rural areas of the county in the long term.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA15 Social Fabric

Development along transportation corridors is unlikely to result in equal access to services and facilities between rural and urban areas and will not address rural needs. Would not respect the existing pattern of development which will increase barriers to positive social interactions.

Predicted Impacts: Short Term - Medium Term - Long Term -



This option distributes housing, employment and other forms of development on a broad basis between settlements within the County, both urban and rural. It allows settlements to grow incrementally without necessarily taking account of the availability of services or facilities nor the impact which growth could have upon the existing communities and their capacity to accommodate and absorb growth.

This option would see a higher proportion of the County's growth being directed to the rural areas and a lower proportion to the existing urban areas.

SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climatic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic Environment	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall
Page 313	S	-	-	-	+/-	+/-	-	-	+	-	-	-	-	-	-	-	-
	M	-	-	-	+/-	-	-	-	-	-	-	-	-	-	-	-	-
	L	+	-	+	+/-	-	+	-	-	-	+	-	+	+	-	+	+

Spatial Option 3 – Sustainability Commentary**SA1. Sustainable Development**

Dispersal of growth does not consider supporting infrastructure and so is largely unsustainable in the short and medium terms. In the long term, facilities and services may become established around areas of growth and may result in clusters of sustainable communities.

SA2 Biodiversity

Dispersal of development is likely to result in no discrimination of growth between rural and urban areas, increasing the potential for currently undisturbed and biodiversity sensitive areas to be developed in short, medium and long term. The choice of development sites and the manner in which they are developed would determine the way in which features of biodiversity importance would be affected.

Predicted Impacts: Short Term Medium Term Long Term

SA3 Air Quality

Dispersal of growth would result in a lack of access to public transport and would not address existing need for availability of services as they would be provided disparately. Both of these factors would reinforce the need for residents to rely on the private car as a means of transport in the short to medium term. However, in the long term, established rural settlements may be better able to retain services and facilities, meaning they are more accessible locally.

Predicted Impacts: Short Term Medium Term Long Term

SA4 Climatic Factors

This option would relieve pressure in urban growth areas, some of which are partially or wholly in C1/C2 flooding zones in the short term although increasing development in rural areas with no regard to existing services is likely to reduce access to public transport and increase reliance on the private car. However in the longer term, dispersal of growth is likely to increase development of greenfield land which may reduce upland flood storage areas, but could increase access to services as they become more established around growth areas and so would reduce private car use.

Predicted Impacts: Short Term Medium Term Long Term

SA5 Water

This option would relieve pressure in urban growth areas, many of which are partially or wholly in C1/C2 flooding zones in the short term, but dispersal of growth is likely to increase development of greenfield land which may reduce upland flood storage areas and places development outside of previously developed areas which increases risk to water bodies and diffuse pollution. Development will not be located in areas where there are sufficient water treatment services and would therefore likely have a detrimental effect on water quality.

Predicted Impacts: Short Term Medium Term Long Term

SA6 Material Assets

This option does not consider access to public transport networks or location of services and facilities. It is therefore likely to contribute to an over reliance on private cars. However, services and facilities may develop and be retained in rural areas and so may led to a reduction of private car use in the long term

Predicted Impacts: Short Term Medium Term Long Term

SA7 Soil

Dispersal of development in settlements across the county reduces the potential to redevelop previously used land and increases the potential for undeveloped areas and soils to be lost.

Predicted Impacts: Short Term Medium Term Long Term

SA8 Cultural Heritage and Historic Environment

In the short term, dispersing new settlement across the county would relieve development pressure on existing urban townscapes and archaeological or built heritage interests that have historically seen the most development. However, in the medium to long term, higher development within rural settlements may affect the setting of a greater number of cultural assets and townscapes across the county.

Predicted Impacts: Short Term Medium Term Long Term

SA9 Landscape

Dispersal of new settlement across the county would increase the likelihood of impacts on sites designated as special landscape areas which are predominantly rural. This option would also limit the ability to encourage future use of derelict land.

Predicted Impacts: Short Term Medium Term Long Term

SA10 Population

This option does not discriminate between growth in rural and urban areas and so may increase access to services across the County, however growth is not responsive to local needs specifically, so is unlikely to have a positive effect in the short to medium term. However, services and facilities may develop and be retained in rural areas and so may lead to a reduction of private car use in the long term.

Predicted Impacts: Short Term Medium Term Long Term

SA11 Welsh Language

This option will see high growth directed to rural areas at a level that is unlikely to be absorbed without negative effects.

Predicted Impacts: Short Term Medium Term Long Term

SA12 Health and Well-being

This option does not discriminate between growth in rural and urban areas and so may lead to a broader access to services across the County, simply by chance in the longer term. However growth is not responsive to specific local needs and so is unlikely to have a positive effect in the short to medium term. This option also does not consider access to infrastructure or public transport.

Predicted Impacts: Short Term Medium Term Long Term

SA13 Education and Skills

This option does not consider access to services including education facilities and is therefore unlikely to have a positive effect on access to Education and Skills services and facilities

Predicted Impacts: Short Term Medium Term Long Term

SA14 Economy

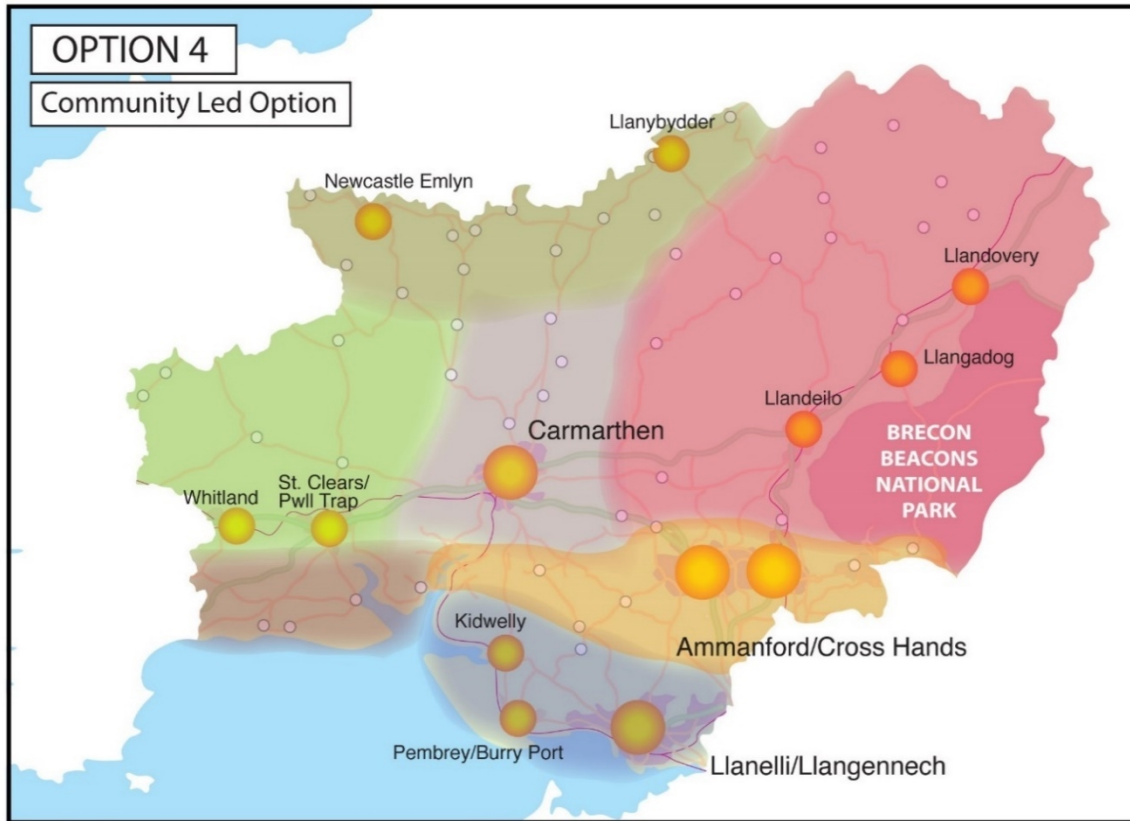
This option has no regard to local need, the market or the supporting infrastructure and is therefore unlikely to create attractive areas for investment and economic growth.

Predicted Impacts: Short Term - Medium Term - Long Term -

SA15 Social Fabric

This option does not consider access to services when locating growth and therefore is unlikely to improve general accessibility in the short to medium term. However, because this option does not discriminate between growth in urban and rural areas, it may result in improved access to services in rural areas in the longer term.

Predicted Impacts: Short Term - Medium Term - Long Term +



SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climatic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall
Page 317	S	+	-	-	+/-	+	-	-	+	-	+	+	+	+	+	+	?
	M	+	+	-	+/-	+	+	+	+	+	++	+	++	+	+	++	+
	L	+	+	+	+/-	+	++	+	+	+	++	+	++	+	++	++	++

Spatial Option 4 – Sustainability Commentary**SA1. Sustainable Development**

This option is likely to contribute positively to achieving a sustainable economy and addressing local need throughout the County.

SA2 Biodiversity

This option would see increased development in rural areas and so may have a negative impact on currently undisturbed and biodiversity sensitive areas. Effects in the medium to long term would be dependent on the choice of development sites and the manner in which they are developed.

Predicted Impacts: Short Term - Medium Term | Long Term |

SA3 Air Quality

In the short term, encouragement of growth outside of urban centres is likely to result in an increase in public car use and associated emissions. However, in the medium to long term, facilities, services and public transport links are likely to become more established and retained in rural areas following growth and so the need for private cars will likely reduce.

Predicted Impacts: Short Term - Medium Term +/- Long Term +

SA4 Climatic Factors

This option would relieve pressure in urban growth areas in the short term, some of which are partially or wholly in C1/C2 flooding zones. However, growth outside of urban centres is likely to result in an increase in public car use and associated emissions in the short term. In the longer term, growth in rural areas is likely to increase development of greenfield land which may reduce upland flood storage areas. However, services and public transport links are likely to become more established and retained in rural areas following growth and so the need for private cars will likely reduced.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA5 Water

This option would relieve pressure in urban growth areas in the short term, some of which are partially or wholly in C1/C2 flooding zones in the short term. This option also takes into consideration the existing infrastructure when apportioning growth to rural settlements although this may need to be address in some areas in the short term. In the medium to long term, it is likely that sufficient infrastructure and water issues addressed will become established in areas of growth and so positive effects are predicted.

Predicted Impacts: Short Term +/- Medium Term + Long Term +

SA6 Material Assets

In the short term, growth outside of urban centres is likely to result in services and facilities needing to be accessed by private car due to areas not being serviced by public transport or having sufficient facilities to support growth. However, in the medium to long term, facilities, services and public transport links are likely to become more established and so needs are more likely to be met locally or access via alternative transport methods.

Predicted Impacts: Short Term - Medium Term + Long Term ++

SA7 Soil

Increasing development outside of urban growth areas increases the probability of greenbelt land being used for development as opposed to the redevelopment of brownfield sites. The choice of development sites and the manner in which they are developed would determine the way in which features of soil would be affected.

Predicted Impacts: Short Term - Medium Term I Long Term I

SA8 Cultural Heritage and Historic Environment

In the short term, this option would relieve development pressure on existing urban townscapes and archaeological or built heritage interests that have historically seen the most development. However, in the medium to long term, higher development within rural settlements may affect the setting of a greater number of cultural assets and townscapes across the county. The choice of development sites and the manner in which they are developed would determine the way in which features of heritage importance would be affected.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

This option has the potential to increase impacts on sites designated as special landscape areas which are predominantly rural. This option does however, provide some flexibility to avoid sensitive areas, which would depend on choice of development sites and the manner in which they are developed

Predicted Impacts: Short Term - Medium Term I Long Term I

SA10 Population

This option has the potential to support existing settlements with regards to services and facilities which in turn is likely to have a positive effect on the retention of young people in the county. It has enough flexibility to address local need and will go some way to addressing rural needs.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++

SA11 Welsh Language

This option has largely positive effects on Welsh Language, as growth directed to more rural areas will help to ensure that Welsh speakers, in particular young people, can afford housing and access jobs in rural areas and are retained in these areas.

Predicted Impacts: Short Term + Medium Term + Long Term +

SA12 Health and Well-being

This option encourages growth in both rural and urban areas and so may lead to a broader access to services across the County and allows enough flexibility to ensure that growth can address specific local needs. This is likely to have strong positive effects in the medium to long term.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++

SA13 Education and Skills

This option would encourage access to education services on a local basis, in particular in the medium to long term.

Predicted Impacts: Short Term + Medium Term + Long Term +

SA14 Economy

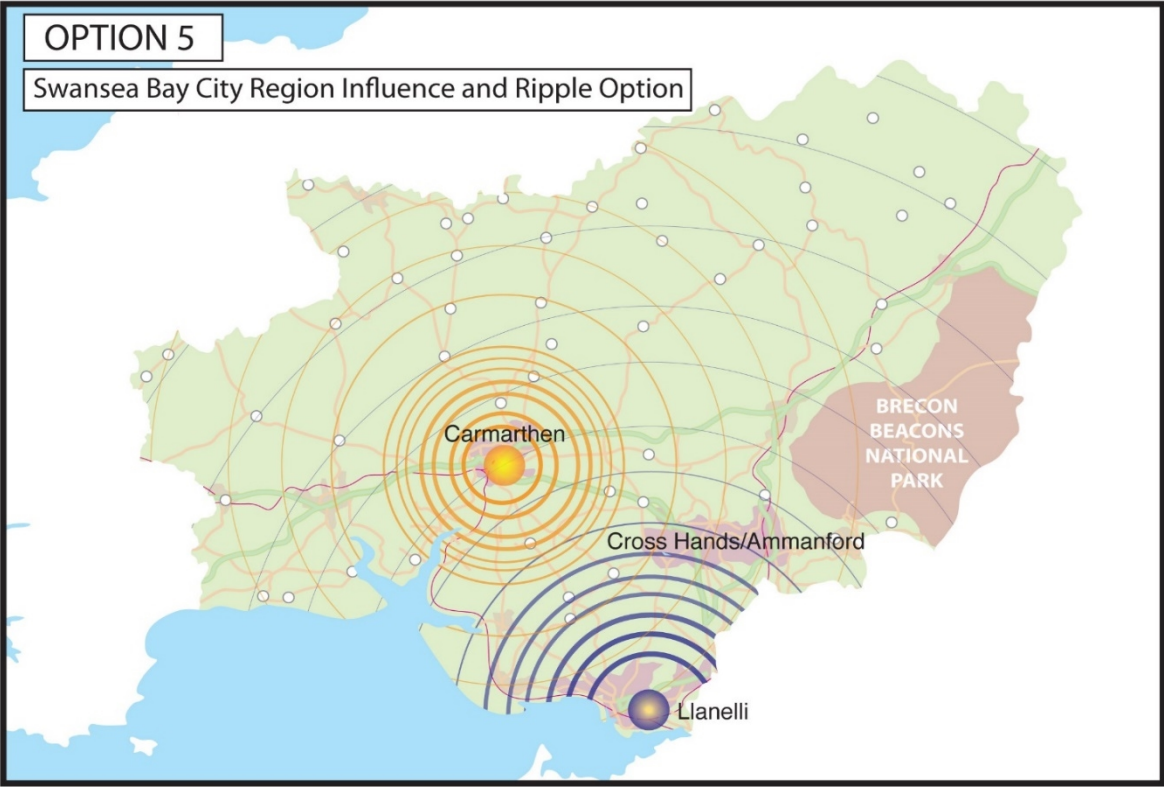
Balanced development in both urban and rural areas would support existing economic development as well as supporting the rural economy by creating viable economic centres supported by a local workforce and markets.

Predicted Impacts: Short Term + Medium Term + Long Term ++

SA15 Social Fabric

This option gives the opportunity for needs to be addressed on a local level which will improve accessibility to services, especially for disadvantaged sections of society, in both rural and urban areas.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++



SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climatic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic Environment	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall (Median)
ss	S	+	+	+/-	+	+	+	+	+	+	+/-	+/-	+/-	++	++	+	+
	M	-	+	-	-	-	-	+	-	-	+/-	+/-	+/-	++	++	-	-
	L	-	-	-	-	-	-	-	-	-	+/-	+/-	+/-	++	-	-	-

Spatial Option 5 – Sustainability Commentary**SA1. Sustainable Development**

This option would address needs locally in the short term, however in the long term development would not be sustainable as it would lead to disparity between rural and urban economies and would not address the needs of rural communities.

SA2 Biodiversity

Limits the potential for extensive rural development and habitat fragmentation as development is concentrated within the urban areas of Carmarthen/Llanelli. However, Llanelli and Carmarthen are both in close proximity to designated sites and focussed development in these areas will increase the potential for negative impacts. The choice of development sites and the manner in which they are developed would determine the way in which features of Biodiversity importance would be affected in the long term.

Predicted Impacts: Short Term + Medium Term + Long Term |

SA3 Air Quality

Focus of development in Llanelli/Carmarthen areas means that services for new growth will be provided locally, reducing the distances people are required to travel and increases access to public transport, however it fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use. Concentrated development in Llanelli/Carmarthen may also exacerbate existing air quality issues in these areas, in particular in the established AQMA's in both Carmarthen and Llanelli.

Predicted Impacts: Short Term +/- Medium Term - Long Term --

SA4 Climatic Factors

Focus of development in Llanelli/Carmarthen areas means that services for new growth can be provided locally, reducing the distances people are required to travel and increases access to public transport, however it fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use. Increased development in Llanelli and surrounding areas such as Burry Port and Pembrey has the potential to put new development at a higher risk of flooding as these areas are partially or wholly within C1 and C2 areas.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA5 Water

This option limits the potential for development outside of previously developed areas, thereby minimising the risk to waterbodies and diffuse pollution. However, concentration of development in Llanelli will likely increase surface water runoff and associated pollution issues, which may have implications for the Burry Inlet SPA/Carmarthen Bay and Estuaries SAC without mitigation.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA6 Material Assets

Focus of development in Llanelli/Carmarthen areas means that services for new growth can be provided locally, reducing the distances people are required to travel and increases access to public transport, however it fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA7 Soil

Offers potential to ensure brownfield sites are redeveloped, and minimises development of greenfield sites and river corridors where soils of high agricultural value are located. The choice of development sites and the manner in which they are developed would determine the way in which soil would be affected.

Predicted Impacts: Short Term + Medium Term + Long Term I

SA8 Cultural Heritage and Historic Environment

This option would reduce potential impacts on rural areas with high numbers of cultural assets and townscapes. Concentrating development in urban centres and rural clusters may result in pressure on existing townscapes and archaeological heritage interests. The choice of development sites and the manner in which they are developed would determine the way in which features of cultural heritage importance would be affected.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

Development within existing settlements reduces the likelihood of further features of landscape importance and natural landscapes being disturbed and would increase the likelihood of existing derelict land being repurposed.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA10 Population

Focusing development in Llanelli/Carmarthenshire ensures areas of new growth will have access to services and facilities and maximising the viability of existing public transport. It will also align residential development with significant, skilled employment opportunities which is likely to encourage the retention of young people in the county. The option would not however, improve rural access to services and facilities, putting these communities at a disadvantage.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA11 Welsh Language

Focused growth around the Swansea Bay city region developments in both Carmarthen and Llanelli has the potential to create a vibrant environment in which Welsh speakers may be encouraged to remain in the county. However, this option would see development directed to areas that have historically seen high levels of development. These areas may not have the potential to absorb changes in character and so Welsh language could be adversely effected.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA12 Health and Well-being

Focusing development in Llanelli/Carmarthenshire ensures new growth will have sufficient access to health and recreation services and facilities and active travel networks. The option would not however, improve rural access to health and recreation services and facilities, putting these communities at a disadvantage.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA13 Education and Skills

Focusing growth around the Swansea Bay City Region developments at both Llanelli and Carmarthen is likely to increase access to the high quality educational and skills facilities and provided by the developments. This option will not improve rural access to services, however they may also benefit from the inflow of skills in the long term.

Predicted Impacts: Short Term ++ Medium Term ++ Long Term ++

SA14 Economy

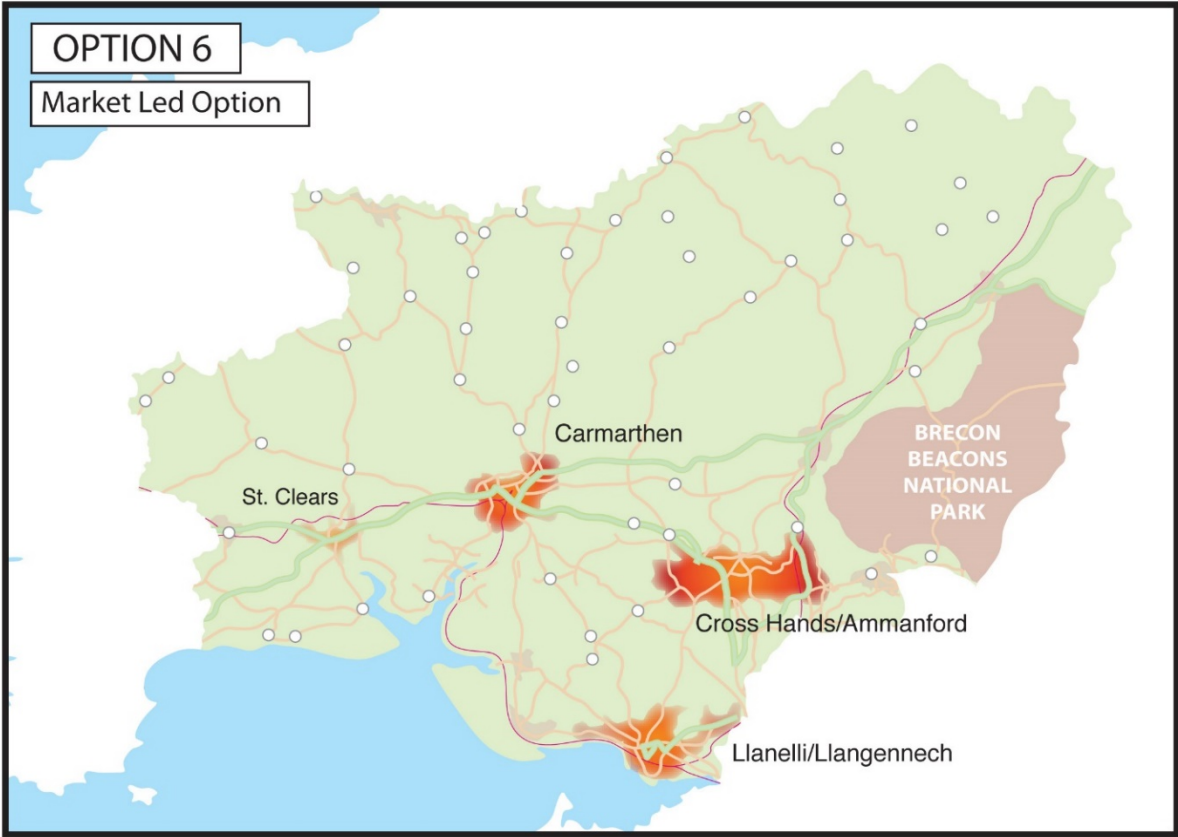
This option is likely to support high economic growth, including significant job creation, in Llanelli, Carmarthen and their surrounding areas, following inward investment via the Swansea Bay City deal. Settlements outside of these areas may benefit from the inward investment in these areas, however there is a risk that in the long term, it may create a larger disparity in economic standing between the north and south of the county.

Predicted Impacts: Short Term ++ Medium Term ++ Long Term ?

SA15 Social Fabric

Focusing development in Llanelli/Carmarthenshire ensures areas of new growth will have access to services and facilities and maximising the viability of existing public transport. However, this option is unlikely to improve rural access to services and facilities, especially for disadvantaged members of society, and is unlikely to contribute to removing social barriers.

Predicted Impacts: Short Term + Medium Term - Long Term -



SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climactic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall (Median)
		+	+/-	+/-	+	+	+	+	+	+	+/-	+/-	+/-	+/-	+	+	+
		-	-	-	-	-	-	+	-	-	+/-	-	+/-	?	?	-	-
		-	-	-	-	-	-	-	-	-	+/-	-	+/-	?	-	-	-

Spatial Option 6 – Sustainability Commentary**SA1. Sustainable Development**

This option would address needs locally in the short term, however in the long term development would not be sustainable as it would lead to disparity between rural and urban economies and would not address the needs of rural communities.

SA2 Biodiversity

Limits the potential for extensive rural development and habitat fragmentation as development is concentrated within existing growth areas. However, areas that have seen high levels of development historically such as Llanelli, Carmarthen and Cross Hands are in close proximity to designated sites and continued development in these areas will increase the potential for negative impacts.

Predicted Impacts: Short Term +/- Medium Term | Long Term |

SA3 Air Quality

Focus of development in existing growth areas means that services and facilities will be readily accessible, reducing the distances people are required to travel and increases access to public transport. However, this option fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use. Concentrated development in Llanelli/Carmarthen may also exacerbate existing congestion and air quality issues in these areas, in particular in the established AQMA's in both Carmarthen and Llanelli.

Predicted Impacts: Short Term +/- Medium Term - Long Term --

SA4 Climatic Factors

Focus of development in existing growth areas means that services for new development can be provided locally, reducing the distances people are required to travel and increases access to public transport. However this option fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use. Increased development in Llanelli and surrounding areas such as Burry Port and Pembrey has the potential to put new development at a higher risk of flooding as these areas are partially or wholly within C1 and C2 areas.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA5 Water

This option limits the potential for development outside of previously developed areas, thereby minimising the risk to waterbodies and diffuse pollution. However, concentration of development in growth areas, in particular in Llanelli will likely increase surface water runoff and associated pollution issues, which may have negative implications for the Burry Inlet SPA/Carmarthen Bay and Estuaries SAC without mitigation.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA6 Material Assets

Focus of development in existing means that services for new development can be provided locally, reducing the distances people are required to travel and increases access to public transport. This option however, fails to address rural need in any way and so rural areas will likely still be heavily reliant on private car use.

Predicted Impacts: Short Term + Medium Term - Long Term -

SA7 Soil

Offers potential to ensure brownfield sites are redeveloped, and minimises development of greenfield sites and river corridors where soils of high agricultural value are located. The choice of development sites and the manner in which they are developed would determine the way in which soil would be affected.

Predicted Impacts: Short Term + Medium Term + Long Term I

SA8 Cultural Heritage and Historic Environment

This option would reduce potential impacts on rural areas with high numbers of cultural assets and townscapes. Concentrating development in urban centres and rural clusters may result in pressure on existing townscapes and archaeological heritage interests. The choice of development sites and the manner in which they are developed would determine the way in which features of cultural heritage importance would be affected.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

Development within existing settlements reduces the likelihood of further features of landscape importance and natural landscapes being disturbed. It also increases the likelihood of derelict land being reused for development.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA10 Population

Focusing development in existing growth areas ensures these developments will have access to services and facilities and maximising the viability of existing public transport. The option would not however, improve rural access to services and facilities, putting these communities at a disadvantage and would exacerbate social exclusion in these areas.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA11 Welsh Language

This option would see development directed to areas that have historically seen high levels of development. These areas may not have the potential to absorb changes in character and so Welsh language could be adversely effected.

Predicted Impacts: Short Term +/- Medium Term - Long Term -

SA12 Health and Well-being

Focusing development in existing growth areas ensures new development will have sufficient access to health and recreation services and facilities and active travel networks. The option would not however, improve rural access to health and recreation services and facilities, putting these communities at a disadvantage.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +/-

SA13 Education and Skills

Focussed development in areas that have historically seen high growth will mean that, in the short term, education and training facilities would be more easily accessible. However, this option is likely to place pressure on these resources in the medium to long term and may not be sustainable. The option would not, improve access to education and training facilities for rural communities, putting these communities at a disadvantage.

Predicted Impacts: Short Term +/- Medium Term ? Long Term ?

SA14 Economy

Delivery of development based on the market is likely to facilitate a short to medium term economic boost, but once which is sensitive to economic cycles or changes in market demand. This is unlikely to contribute to a sustainable economy in the long term, and would likely contribute to a larger disparity in economic standing between the north and south of the county.

Predicted Impacts: Short Term + Medium Term ? Long Term -

SA15 Social Fabric

Focusing development in existing growth areas ensures new development will have access to services and facilities and will maximise the viability of existing public transport. However, this option is unlikely to improve rural access to services and facilities, especially for disadvantaged members of society, and is unlikely to contribute to removing social barriers.

Predicted Impacts: Short Term + Medium Term - Long Term -

Summary of Sustainability Appraisal of Spatial Options

In particular, the sustainability appraisal highlighted the following issues and opportunities:

- **Options 1 and 4** both perform well overall against the sustainability framework, in particular in terms of economy, improving social fabric and addressing the needs of both rural and urban areas. This is in contrast to **Options 2 and 3** which do not specifically address rural economy or need, and do not perform favourably against improving social equality across the county. **Option 5** is predicted to have positive effects on education, skills and economy due to the 'ripple' effect of inward investment and knowledge and skills to the county. It is also likely to have highly positive effects on population structure, by aligning residential development with significant, skilled employment opportunities, creating attractive areas for young people.
- Although **Options 2, 5 and 6** would reduce private car use in the short term by directing growth to areas that currently have sufficient services and facilities, the medium to long term is likely to see an increase in traffic, congestion and associated emissions in areas which already breach UK Air Quality Objectives. In contrast, **Options 1, 4 and 3** direct higher growth to rural areas which in the short term may not have sufficient access to services and so would increase public car use. However, in the long term, it is likely that services centres would be established and retained around rural settlements and public transport links improved, leading to a reduction in car use and associated air quality issues.
- **Options 1, 3 and 4** all have both negative and positive impacts with respect to Climatic Factors. Directing growth to rural areas will reduce pressure on urban areas in the short term, some of which are partially or wholly in C1/C2 flooding zones. However, growth outside of urban centres is likely to result in an increase in public car use and associated emissions in the short term. In the longer term, growth in rural areas is likely to increase development of greenfield land which may reduce upland flood storage areas. However, services and public transport links are likely to become more established and retained in rural areas following growth and so the need for private cars will likely be reduced. **Option 2** would result in an increase in access to alternative modes of transport and growth in areas where there are sufficient services and facilities, reducing the need for private car use. However, some major transport routes (e.g. A40) follow river corridors and focussed development in such areas is likely to fall somewhat within C1 and C2 flood zones. Growth directed to urban areas such as Llanelli, Pembrey and Burry Port, which are partially or wholly within C1 and C2 areas could result in new development being at risk of climate related flooding in the long term. It is for this reason, coupled with rural needs not being addressed that **Options 5 and 6** are predicted to have negative impacts on this objective.
- Performance against sustainability objectives such as cultural heritage, biodiversity and landscape is largely dependent on site selection and implementation due to the localised nature of these features and so appraisal of impact at this strategic level is difficult. However, **Options 2 and 5** are likely to have broadly positive effects on biodiversity due to them directing growth to areas which have historically seen development, as opposed to areas more likely to result in the development of green belt land.

- **Options 2 and 6** that direct growth to areas that have historically seen high levels of growth and as a result, changes in demographics, are less likely to be able to absorb further changes in character and would therefore likely see negative impacts on Welsh Language. **Options 1 and 4** look to distribute growth more proportionally between urban and rural areas, and will also support vibrant communities and economy, all of which are likely to have positive effects on the Welsh Language, in particular through the retention of young people **Option 3** would see an unsustainable amount of growth provision in rural areas, that has the potential to dilute the Welsh speaking communities in these areas. Option 5 has both the negative effects of Options 2 and 6 but may also have positive effects as a result of the job creation and skills associated with the Swansea Bay City Region (in particular Yr Egin , which houses S4C's offices) that will help to retain young people in the County.

Hybrid Option – Balanced Community and Sustainable Growth

As a result of this Sustainability Appraisal, and subsequent stakeholder engagement, it is recommended that a hybrid option is considered as the preferred option which reflects a number of characteristics from the options above. This hybrid option seeks to build on the approach highlighted through Strategic Option 4 - Community Led, seeking to provide opportunities for rural areas and ensuring the diversity of the County and communities is recognised, but removing the prescriptive approach of assigning character areas within the County. This option aims to retain an approach which reflects the role and function of settlements and will seek to be responsive in how it assigns growth, to urban and rural areas of the County.

The hybrid option will incorporate elements of Option 5, recognising and reflecting investment and economic benefits to the County and its communities through the Swansea Bay City Deal, and other economic opportunities. As is the primary focus in Option 2, it also acknowledges that sustainable growth needs to be supported by the availability of a range of appropriate infrastructure. In line with Option 6, it will recognise that growth should also be deliverable and orientated to a community's needs and market demand.

The hybrid option has been assessed against the Sustainability Objectives and a detailed commentary is presented in the below. Figure 6 summarises the results of the appraisal against the original six spatial options.

Figure 6 Summary of the Sustainability Appraisal of Spatial Options, including Hybrid Option

SA Objective	Option 1	Option 2	Option 3	Option 4	Option 5	Option 6	Hybrid
SA1 Sustainable Development	+	-	-	+	?	?	+
SA2 Biodiversity		+			+		
SA3 Air Quality	-	-	-	-	-	-	+
SA4 Climatic Factors	+/-	+/-	+/-	+/-	-	-	+/-
SA5 Water	-	+	-	+	-	-	+
SA6 Material Assets	+	-	-	+	-	-	+
SA7 Soil		+	-		+	+	
SA8 Cultural Heritage							
SA9 Landscape			-				
SA10 Population	++	-	-	++	+/-	+/-	++
SA11 Welsh Language	+	-	-	+	+/-	-	+
SA12 Health and Wellbeing	+	-	-	++	+/-	+/-	++
SA13 Education and Skills	+	-	-	+	++	?	++
SA14 Economy	+	-	-	+	++	?	++
SA15 Social Fabric	+	-	-	++	-	-	++

NEW HYBRID OPTION HERE

SA Objective	Timescale	1. Sustainable Development	2. Biodiversity	3. Air Quality	4. Climactic Factors	5. Water	6. Material Assets	7. Soil	8. Cultural Heritage and Historic	9. Landscape	10. Population	11. The Welsh Language	12. Health and Wellbeing	13. Education and Skills	14. Economy	15. Social Fabric	Overall (Median)
SO7	S		-	+/-	+/-	+/-	-	-	+	-	+	+	+	++	+	+	+
	M		-	+	+/-	+	+	-	-	-	++	+	++	++	++	++	+
	L		-	+	+	+	++	-	-	-	++	+	++	++	++	++	+

Spatial Option 7 – Sustainability Commentary**SA1. Sustainable Development**

This option is likely to contribute positively to achieving a sustainable economy and addressing local need throughout the County.

SA2 Biodiversity

This option would see increased development in rural areas and so may have a negative impact on currently undisturbed and biodiversity sensitive areas in the short term. Effects in the medium to long term would be dependent on the choice of development sites and the manner in which they are developed.

Predicted Impacts: Short Term - Medium Term | Long Term |

SA3 Air Quality

In the short term, encouragement of growth outside of urban centres is likely to result in an increase in public car use and associated emissions. However, in the medium to long term, facilities, services and public transport links are likely to become more established and retained in rural areas following growth and so the need for private cars may reduce.

Predicted Impacts: Short Term +/- Medium Term + Long Term +

SA4 Climatic Factors

This option would relieve pressure in urban growth areas in the short term, some of which are partially or wholly in C1/C2 flooding zones. However, growth outside of urban centres is likely to result in an increase in public car use and associated emissions in the short term. In the longer term, growth in rural areas is likely to increase development of greenfield land which may reduce upland flood storage areas. However, services and public transport links are likely to become more established and retained in rural areas following growth and so the need for private cars will likely be reduced.

Predicted Impacts: Short Term +/- Medium Term +/- Long Term +

SA5 Water

This option would relieve pressure in urban growth areas in the short term, some of which are partially or wholly in C1/C2 flooding zones in the short term. This option also takes into consideration the existing infrastructure when apportioning growth to rural settlements although this may need to be addressed in some areas in the short term. In the medium to long term, it is likely that sufficient infrastructure and water issues addressed will become established in areas of growth and so positive effects are predicted.

Predicted Impacts: Short Term +/- Medium Term + Long Term +

SA6 Material Assets

In the short term, directing growth to areas outside of urban centres is likely to result in services and facilities needing to be accessed by private car, due to areas lack of access to public transport or areas initially having sufficient facilities to support growth. However, in the medium to long term, facilities, services and public transport links are likely to become more established in these areas and so needs are more likely to be met locally or access via alternative transport methods.

Predicted Impacts: Short Term + Medium Term + Long Term ++

SA7 Soil

Increasing development outside of urban growth areas increases the probability of greenbelt land being used for development as opposed to the redevelopment of brownfield sites. The choice of development sites and the manner in which they are developed would determine the way in which features of soil would be affected.

Predicted Impacts: Short Term - Medium Term I Long Term I

SA8 Cultural Heritage and Historic Environment

In the short term, this option would relieve development pressure on existing urban townscapes and archaeological or built heritage interests that have historically seen the most development. However, in the medium to long term, higher development within rural settlements may affect the setting of a greater number of cultural assets and townscapes across the county. The choice of development sites and the manner in which they are developed would determine the way in which features of heritage importance would be affected.

Predicted Impacts: Short Term + Medium Term I Long Term I

SA9 Landscape

This option has the potential to increase impacts on sites designated as special landscape areas which are predominantly rural. This option does however, provide some flexibility to avoid sensitive areas, which would depend on choice of development sites and the manner in which they are developed

Predicted Impacts: Short Term - Medium Term I Long Term I

SA10 Population

This option has the potential to support existing settlements with regards to services and facilities which in turn is likely to have a positive effect on the retention of young people in the county. It has enough flexibility to address local need and will go some way to addressing rural needs. It will also align residential development with significant, skilled employment opportunities as a result of the Swansea Bay City Deal, which is likely to encourage the retention of young people in the county.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++

SA11 Welsh Language

This option has the potential to support existing settlements with regards to services and facilities which in turn is likely to have a positive effect on the retention of young welsh speakers in the county. It will also align residential development with significant, skilled employment opportunities as a result of the Swansea Bay City Deal, which is likely to encourage the retention of young welsh speakers in the county.

Predicted Impacts: Short Term + Medium Term + Long Term +

SA12 Health and Well-being

This option encourages growth in both rural and urban areas and so may lead to a broader access to services across the County and allows enough flexibility to ensure that growth can address specific local needs. This is likely to have strong positive effects in the medium to long term.

Predicted Impacts: Short Term + Medium Term ++ Long Term ++

SA13 Education and Skills

This option would encourage access to education services on a local basis, in particular in the medium to long term. Focusing some growth around the Swansea Bay City Region developments at both Llanelli and Carmarthen is also likely to increase access to the high quality educational and skills facilities and provided by the developments.

Predicted Impacts: Short Term  Medium Term  Long Term 

SA14 Economy

This option is likely to support high economic growth, including significant job creation, in Llanelli, Carmarthen and their surrounding areas, following inward investment via the Swansea Bay City deal. Settlements outside of these areas will also see benefits from the inward investment in these areas. Balanced development in both urban and rural areas would support existing economic development as well as supporting the rural economy by creating viable economic centres supported by a local workforce and markets.

Predicted Impacts: Short Term  Medium Term  Long Term 

SA15 Social Fabric

This option gives the opportunity for needs to be addressed on a local level which will improve accessibility to services, especially for disadvantaged sections of society, in both rural and urban areas.

Predicted Impacts: Short Term  Medium Term  Long Term 

6. Appraisal of Strategic Policies

The LDP Strategic Policies are high level policies intended to deliver the LDP Vision and Objectives. They are strategic in nature and will be supplemented by more detailed policies and proposals in the Deposit Plan stage of the LDP.

The SA process helps to inform the policy drafting process and provides the opportunity for greater scrutiny of the sustainability impacts of policies and what they seek to deliver. The Strategic Policies are set within four themes which directly align with the core themes of Carmarthenshire's Well-being plan

The draft Strategic Policies are set out below (excluding supporting text), and a summary of their performance against the SA framework is summarised in Figure 7. A detailed commentary is provided in pages 73 - 99.

Early Intervention – To make sure that people have the right help at the right time; as and when they need it

- SP1 Strategic Growth
- SP2 Retail and Town Centres

Prosperous People and Places – To maximise opportunities for people and places in both urban and rural parts of our county

- SP3 Providing New Homes
- SP4 Affordable Homes
- SP5 Strategic Sites
- SP6 Employment and the Economy
- SP7 Welsh Language and Culture
- SP8 Infrastructure
- SP9 Gypsy and Traveller Provision
- SP10 The Visitor Economy
- SP11 Placemaking, Sustainability and High Quality Design

Healthy Habits – People have a good quality of life and make healthy choices about their lives and environment

- SP12 Rural Development
- SP13 Protection and Enhancement of the Natural Environment
- SP14 Protection and Enhancement of the Built and Historic Environment

Strong Connections – Strongly connected people, places and organisations that are able to adapt to change

- SP15 Climate Change
- SP16 Sustainable Distribution – Settlement Framework
- SP17 Transport and Accessibility
- SP18 Mineral Resources
- SP19 Waste Management

Figure 7 Testing of Revised LDP Strategic Policies against the Sustainability Objectives framework

Strategic Policy	SA1	SA2	SA3	SA4	SA5	SA6	SA7	SA8	SA9	SA10	SA11	SA12	SA13	SA14	SA15
SP1	+	-	-	-	+	+				++	+/-	+	+	++	+
SP2	+		+/-	+/-					+	+				++	
SP3	+	-	-	-	+	+				++	+/-	+	+	++	+
SP4	+									++	+	+	+	+	++
SP5	+	-	+/-	+/-	?	+				++	+	++	++	++	++
SP6	+	-	+/-	+	?	+				++	+/-		+	++	+
SP7	+							+		+	++		+	+	++
SP8	++	+/-	+	+	+	+	-	-	-	++		+	+	+	++
SP9	+				?					+					+
SP10	+		+/-	+/-		+				+	+/-	++	+	++	+
SP11	++	+	+	++	+	+	+	+	+	+		+		+	+
SP12	+	-	+	+	-	+	-		-	+	+/-	+	+	++	++
SP13	+	++	+	+	+		+		+			+		+	
SP14	+							++	+			+		+	
SP15	++	+	+	++	+	+						+	?		
SP16	++	-	+	+	?	++				++	+/-	+	+	++	++
SP17	++	+	++	+		++				+		+	+		++
SP18		-	-	-		?	-		-					+	
SP19		-				+	-		-					+	

SP 1: Strategic Growth

The LDP will provide for the future growth of the economy and housing requirement through the provision of following:

- a) 10,704 new homes to meet the identified housing requirement of 10,195.
- b) A minimum of 5,295 new jobs

The focus on regeneration and growth reflects the Councils core strategic ambitions with development distributed in a sustainable manner consistent with the spatial strategy and settlement hierarchy.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy looks to support a sustainable economy, and provides opportunity for needs to be met locally.
SA2 – Biodiversity	-	Growth in particular in rural areas is likely to impact on greenfield land and undisturbed areas of biodiversity.
SA3 – Air Quality	-	This policy supports population and economic growth, both of which are likely to lead to a significant increase in transport (domestic and economic) and associated traffic related air pollution.
SA4 – Climatic Factors	-	This policy supports population and economic growth, both of which are likely to lead to a significant increase in transport (domestic and economic) and associated carbon emissions.
SA5 – Water	+	This policy provides for a housing growth percentage of 11.7%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support facilities and services leading to needs being met locally.
SA7 - Soil	I	The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	++	This supports a level of growth that will provide a significant number of affordable homes, in both urban and rural areas. Also, the creation of new jobs is likely to help retain young people in the county.
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Growth and inward migration has the potential to dilute Welsh language and culture in certain areas. However, it does

		increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support new, accessible leisure and health care facilities.
SA13 – Education and Skills	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support new, accessible educational and training facilities.
SA14 – Economy	++	Supports growth at a level that will create a minimum of 5,295 jobs over the plan period, in line with the Council's core ambitions.
SA15 – Social Fabric	+	This supports a level of growth that will provide a significant number of affordable homes in both urban and rural areas.
SA Comments and Suggestions		
Suggested policy alteration: The LDP will provide for the future growth of a sustainable economy and housing requirements through the provision of following:		
LDP Response		
Changes made to policy as a result of SA		

SP 2: Retail and Town Centres

Proposals for retail development will be considered in accordance with the following retail hierarchy.

Proposals will be permitted where they maintain and enhance the vibrancy, viability and attractiveness of our retail centres. They should protect and promote the viability and vitality of the defined retail centres, supporting the appropriate delivery of retail provision (comparison and convenience), leisure, entertainment, office and cultural facilities.

Proposals for small local convenience shopping facilities in rural and urban areas where they accord with the settlement framework will be supported.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	
SA2 – Biodiversity	I	Any development infers potential for negative impacts on biodiversity, but at a strategic level, it is difficult to determine more specific impacts. The choice of sites and the manner in which they are developed would determine the way in which biodiversity would be affected.
SA3 – Air Quality	+/-	This policy does encourage attractiveness of town centres which may increase access via public car, in particular to towns such as

		Carmarthen, Llanelli and Llandeilo which currently all have AQMA's. However, town centres are well serviced by public transport meaning that they are accessible by alternative transport networks.
SA4 – Climatic Factors	+/-	This policy does encourage attractiveness of town centres which may increase access via public car and associated carbon emissions. However, town centres are well serviced by public transport meaning that they are accessible by alternative transport networks.
SA5 – Water	I	Effects on water quality and supply is largely dependent on the choice of sites and manner in which they are developed
SA6 – Material Assets	0	
SA7 - Soil	I	The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	+	This policy supports the protection and enhancement of existing townscapes.
SA10 – Population	+	Protecting and enhancing the vibrancy, viability and attractiveness of our retail centres is likely to contribute to the retention of young people in the County.
SA11 – Welsh Language	0	
SA12 – Health and Well-being	0	
SA13 – Education and Skills	0	
SA14 – Economy	++	Protecting and enhancing the vibrancy, viability and attractiveness of our retail centres will have strong positive effects on the County's economy.
SA15 – Social Fabric	0	
SA Comments and Suggestions		
Suggested policy alteration: Proposals for small local convenience shopping facilities in rural and urban areas where they accord with the settlement framework and sustainability principles will be supported.		
LDP Response		
Changes made to policy as a result of SA		

SP 3: Providing New Homes

In order to ensure the overall housing land requirement of 10,195 homes for the plan period 2018-2033 is met, provision is made for 10,704 new homes. Sufficient land will be allocated (on sites of 5 or more dwellings) to accommodate this requirement in accordance with the Settlement Framework.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy looks to support a sustainable economy, and provides opportunity for needs to be met locally.
SA2 – Biodiversity	-	Housing provision, in particular in rural areas, is likely to impact on greenfield land and undisturbed areas of biodiversity.
SA3 – Air Quality	-	This policy supports the provision of new homes, which is likely to lead to a significant increase in transport (domestic and economic) and associated traffic related air pollution.
SA4 – Climatic Factors	-	This policy supports the provision of new homes which is likely to lead to a significant increase in transport (domestic and economic) and associated carbon emissions.
SA5 – Water	+	This policy provides for a housing growth percentage of 11.7%, which is within the 14.6% capacity provided for in Dwr Cymru Welsh Water's (DCWW) Resource Management Plan.
SA6 – Material Assets	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support facilities and services leading to needs being met locally.
SA7 - Soil		The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment		The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape		The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed.
SA10 – Population	++	This supports a level of growth that will provide a significant number of affordable homes, in both urban and rural areas. Also, the creation of new jobs is likely to help retain young people in the county.
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Growth and inward migration has the potential to

		dilute Welsh language and culture in certain areas. However, it does increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support new, accessible leisure and health care facilities.
SA13 – Education and Skills	+	Growth, especially in rural areas, has the potential to create and/or retain communities with population densities high enough to support new, accessible educational and training facilities.
SA14 – Economy	++	Supports growth at a level that will create a minimum of 5,295 jobs over the plan period, in line with the Council's core ambitions.
SA15 – Social Fabric	+	This supports a level of growth that will provide a significant number of affordable homes in both urban and rural areas.
SA Comments and Suggestions		
Suggested policy alteration: Sufficient land will be allocated (on sites of 5 or more dwellings) to accommodate this requirement in accordance with the Settlement Framework and <u>sustainability principles</u> .		
LDP Response		
Changes made to policy as a result of SA		

SP 4: Affordable Homes		
The Plan will maximise the delivery of affordable homes up to 2033 through the provision of XXXX affordable homes.		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy contributes positively to ensuring development is socially sustainable, by addressing the Well-being of all members of society and removing barriers to social inclusion.
SA2 – Biodiversity	0	
SA3 – Air Quality	0	
SA4 – Climatic Factors	0	
SA5 – Water	0	
SA6 – Material Assets	0	

SA7 - Soil	0	
SA8 – Cultural Heritage and Historic Environment	0	
SA9 – Landscape	0	
SA10 – Population	++	Residents who otherwise may not be able to afford to live and work in the County are able to access affordable housing and remain in the County. In particular, this policy supports disadvantaged groups in society as well as young persons.
SA11 – Welsh Language	+	Carmarthenshire has a large proportion of welsh speakers and this policy will support residents who otherwise may not be able to afford to live and work in the County are able to access affordable housing and remain in the County.
SA12 – Health and Well-being	+	
SA13 – Education and Skills	+	
SA14 – Economy	+	Residents who otherwise may not be able to afford to live and work in the County are able to access affordable housing and remain in the County.
SA15 – Social Fabric	++	Policy facilitates the delivery of affordable housing, which in turn, removes barriers and creates opportunities for disadvantaged sections of society.
SA Comments and Suggestions		
LDP Response		
Changes made to policy as a result of SA		

SP 5: Strategic Sites

In reflecting their contribution to the future growth requirements for Carmarthenshire and as key components of the City deal, the following 2 key Strategic Sites have been identified as making an important contribution to the overall provision for growth during the Plan period:

- Llanelli Life Science and Well-being village
- Yr Egin – Creative Digital Cluster

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy looks to support a sustainable economy, and provides opportunity for needs to be met locally.
SA2 – Biodiversity	-	Any development infers potential for negative impacts on biodiversity, but at a strategic level, it is difficult to determine more specific impacts. These will be assessed at a site appraisal stage. It should be noted that Llanelli Life Science and Well-being village is

		immediately adjacent to the Carmarthen Bay and Estuaries European Marine Site.
SA3 – Air Quality	+/-	Both sites are outside of the established AQMA's in both Carmarthen and Llanelli, however, have the potential to increase traffic and related air pollution. Both sites are strategic and well serviced by public transport networks.
SA4 – Climatic Factors	+/-	Both sites have the potential to increase traffic and related air pollution. Both sites are strategic and well serviced by public transport networks.
SA5 – Water	?	Information required from DCWW Review of Consents as to site specific capacity for growth with respect to water abstraction and waste water treatment.
SA6 – Material Assets	+	Both sites are well serviced and have access to facilities, allowing need to be met locally. They are also well serviced by public transport.
SA7 - Soil	I	Any development infers the loss of soil/permeable surfaces to hard standing. However, it is difficult to predict impacts at a strategic level. The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed
SA10 – Population	++	This policy would contribute towards aligning development with significant, skilled employment opportunities which is likely to encourage the retention of young people in the county. The Llanelli Life Science and Well-being village is also in an area of high deprivation and so is likely to create opportunities for disadvantaged communities.
SA11 – Welsh Language	+	Yr Egin is the base for the Welsh language broadcaster S4C and is a new development space for creative and digital companies with promotion of the Welsh language at the heart of the development. The significant job creation as a result of both strategic sites are likely to create opportunities for young people in the county, a large proportion of which are welsh speaking. However, uncertainty remains as to the effects of in migration of non-welsh speakers to the county as a result of these developments.

SA12 – Health and Well-being	++	Llanelli Life Science and Well-being village is to be a wellness hub where multiple services will be available in one location. Aligning development with this will have positive effects on health and wellbeing.
SA13 – Education and Skills	++	Both facilities create opportunities for shared learning, inward investment and inflow of skills to the county, all of which are predicted to have strong positive effects.
SA14 – Economy	++	Both facilities are part of significant inward investment to the county and have the potential to create thousands of high quality jobs.
SA15 – Social Fabric	++	This policy would contribute towards aligning development with significant, skilled employment opportunities and in the case of Llanelli, in areas of high deprivation and so is likely to create opportunities for disadvantaged
SA Comments and Suggestions		
Reference should be made in the policy the any development of strategic sites will be subject to planning permission and should be based on sustainability principles.		
LDP Response		
Changes made to policy as a result of SA		

SP 6: Employment and the Economy		
Sufficient and appropriate land will be allocated for the provision of employment for the plan period 2018 – 2033 (figure to be quantified) in accordance with the Plan's Spatial Strategy / Settlement Framework.		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	Allocation of employment land in both urban and rural areas, as well as in support of the Swansea Bay City deal is likely to create numerous high quality employment opportunities which will contribute positively to a sustainable economy and social inclusion.
SA2 – Biodiversity	-	Any development infers potential for negative impacts on biodiversity, but at a strategic level, it is difficult to determine more specific impacts. These will be assessed at a site appraisal stage. It is likely that employment land will be allocated in rural areas which is likely to impact on greenfield land.
SA3 – Air Quality	+/-	Allocation of employment land in line with the plans' spatial strategy/settlement framework is likely to reduce the need to travel, and as a result car related emissions. However, employment land will inevitably increase numbers and frequencies of HGV's which

		are likely to contribute to existing air quality issues.
SA4 – Climatic Factors	+	Allocation of employment land in line with the plans' spatial strategy/settlement framework is likely to decrease the need to travel.
SA5 – Water	?	Development will increase the level of demand for water supply and sewerage discharge, but at a strategic level it is difficult to determine more specific impacts. These will be assessed at a site appraisal stage and will consider DCWW review of consents to determine capacity.
SA6 – Material Assets	+	Allocation of employment land in line with the plans' spatial strategy/settlement framework is likely to reduce the need to travel.
SA7 - Soil	I	Any development infers the loss of soil/permeable surfaces to hard standing. However, it is difficult to predict impacts at a strategic level. The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed
SA10 – Population	++	Allocation of employment land in both urban and rural areas, as well as in support of the Swansea Bay City deal is likely to create numerous high quality employment opportunities which will contribute positively to promoting the retention of young people and social inclusion.
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Economic growth and resulting inward migration has the potential to dilute Welsh language and culture in certain areas. However, it does increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	0	
SA13 – Education and Skills	+	Creating a diverse range of employment opportunities increases the potential and accessibility of education and skills facilities.
SA14 – Economy	++	Allocation of employment land in both urban and rural areas, as well as in support of the Swansea Bay City deal is likely to create numerous high quality employment opportunities which will contribute positively to a sustainable economy.

SA15 – Social Fabric	+	Increasing employment land in both urban and rural areas will contribute positively to promoting the retention of young people and social inclusion.
SA Comments and Suggestions		
Suggested policy alteration: Sufficient and appropriate land will be allocated for the provision of employment opportunities for the Plan period (figure to be quantified) in accordance with the Plan's Spatial Strategy / Settlement Framework, and sustainability principles .		
LDP Response		
Changes made to policy as a result of SA		

SP 7: Welsh Language and Culture		
The Plan supports development proposals which safeguard and promote the interests of the Welsh language and culture in the County. Development proposals which have a detrimental impact on the vitality and viability of the Welsh language and culture will not be permitted unless the impact can be mitigated.		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy looks to protect and enhance the social fabric of the County's communities.
SA2 – Biodiversity	0	
SA3 – Air Quality	0	
SA4 – Climatic Factors	0	
SA5 – Water	0	
SA6 – Material Assets	0	
SA7 - Soil	0	
SA8 – Cultural Heritage and Historic Environment	+	This policy looks to protect local cultural distinctiveness from potential negative effects as a result of development.
SA9 – Landscape	0	
SA10 – Population	+	Promoting welsh language and ensuring sufficient employment and housing opportunities are likely to help retain young welsh speakers within the County.
SA11 – Welsh Language	++	This Policy aligns directly with SA11.
SA12 – Health and Well-being	0	
SA13 – Education and Skills	+	Protecting and enhancing Welsh Language and Culture is likely to have a positive effect on Welsh literacy.
SA14 – Economy	+	Promoting welsh language and ensuring sufficient employment and housing opportunities are likely to help retain young welsh speakers within the County.
SA15 – Social Fabric	++	This policy looks to protect and enhance the social fabric of the County's communities.
SA Comments and Suggestions		
LDP Response		

Changes made to policy as a result of SA

SP 8: Infrastructure

Development will need to be directed to locations where the infrastructure, services and facilities considered necessary to deliver and support the development proposal are available.

Development proposals will need to demonstrate that there is sufficient capacity in the existing infrastructure to deliver and support the proposed development. Where this cannot be achieved, proposals will need to demonstrate that suitable arrangements are in place to provide the infrastructure capacity considered necessary to deliver and support the development.

Planning obligations may be sought to ensure that the infrastructure, services and facilities needed to deliver and support the development are delivered.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	++	This policy underpins the ability to deliver develop sustainably, ensuring access to services and facilities and creating sustainable economic centres.
SA2 – Biodiversity	+/-	Siting development in areas with sufficient infrastructure capacity may be at the detriment of biodiversity. However, encouraging needs to be catered for locally will reduce private car use and associated air pollution which currently impact on some European designated sites in Carmarthenshire.
SA3 – Air Quality	+	This policy will direct development to areas with capacity for growth including access to services and facilities which will reduce reliance on private car use.
SA4 – Climatic Factors	+	This policy will direct development to areas with capacity for growth including access to services and facilities which will reduce reliance on private car use.
SA5 – Water	+	Directing development to areas with sufficient or potential capacity for growth will ensure water resources are protected.
SA6 – Material Assets	+	This policy will direct development to areas with capacity for growth including access to services and facilities which will encourage needs to be met locally.
SA7 - Soil	-	Development directed to locations with sufficient infrastructure may reduce flexibility to promote regeneration of land.
SA8 – Cultural Heritage and Historic Environment	-	Development directed to locations with sufficient infrastructure may reduce flexibility to avoid sensitive cultural heritage and historic environment features.

SA9 – Landscape	-	Development directed to locations with sufficient infrastructure may reduce flexibility to avoid sensitive landscape areas.
SA10 – Population	++	This policy will direct development to areas with capacity for growth including access to services and facilities which will maximise access to services and facilities, especially for disadvantaged members of society.
SA11 – Welsh Language	0	
SA12 – Health and Well-being	+	This policy will increase accessibility to services and facilities including health and leisure facilities.
SA13 – Education and Skills	+	This policy will increase accessibility to services and facilities including education and skills facilities.
SA14 – Economy	+	Development directed to locations with sufficient infrastructure is likely to create viable economic centres supported by a local workforce and market.
SA15 – Social Fabric	++	This policy will direct development to areas with capacity for growth including access to services and facilities which will maximise access to services and facilities, especially for disadvantaged members of society.
SA Comments and Suggestions		
Suggested policy alteration: Development will need to be directed to sustainable locations where the infrastructure, services and facilities considered necessary to deliver and support the development proposal are available.		
LDP Response		
Changes made to policy as a result of SA		

SP 9: Gypsy and Traveller Provision		
Land will be allocated within the Llanelli area to meet the identified need for Gypsy and Traveller Accommodation and to allow for the potential future expansion of Gypsy and Traveller Households.		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy promotes the inclusion of Gypsy and Traveller community by allocating land to specifically address their housing need.
SA2 – Biodiversity	!	The alignment of this policy with SA2 is dependent on the choice of sites and manner in which they are developed
SA3 – Air Quality	0	
SA4 – Climatic Factors	0	
SA5 – Water	?	Information required from DCWW Review of Consents as to site specific capacity for growth with respect to water abstraction and waste water treatment.

SA6 – Material Assets	0	
SA7 - Soil	1	The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	1	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	1	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed
SA10 – Population	+	This policy promotes the inclusion of Gypsy and Traveller community by allocating land to specifically address their housing need.
SA11 – Welsh Language	0	
SA12 – Health and Well-being	0	
SA13 – Education and Skills	0	
SA14 – Economy	0	
SA15 – Social Fabric	+	This policy promotes the inclusion of Gypsy and Traveller community by allocating land to specifically address their housing need.
SA Comments and Suggestions		
Suggested policy alteration: Land will be allocated <u>at a sustainable location</u> within the Llanelli area to meet the identified need for Gypsy and Traveller Accommodation and to allow for the potential future expansion of Gypsy and Traveller Households.		
LDP Response		
Changes made to policy as a result of SA		

SP 10: The Visitor Economy		
Proposals for tourism related developments will be supported where they:		
(a) add value to our visitor economy; and,		
(b) preserve our social, economic and environmental fabric for future generations;		
and,		
(c) are sustainably located.		
SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy contributes positively towards maintaining a sustainable economy in the County and promotes health and wellbeing.
SA2 – Biodiversity	1	Any development infers potential for negative impacts on biodiversity, but at a strategic level, it is difficult to determine more specific impacts. The choice of sites and the manner in which they are developed would determine the way in which biodiversity would be affected.
SA3 – Air Quality	+/-	Increasing numbers of tourism related visitors to the county will potentially increase access via private car. However, the policy stipulates

		that tourism related development to be sustainably located will ensure that developments are located in areas that are accessible by public transport.
SA4 – Climatic Factors	+/-	Increasing numbers of tourism related visitors to the county will potentially increase access via private car. However, the policy stipulates that tourism related development to be sustainably located will ensure that developments are located in areas that are accessible by public transport.
SA5 – Water	I	There is potential for tourism related activities may extend to riverine and coastal environments, which may have repercussions for water quality, however the policy expressly states that developments should not have any significant impact on the natural environment. The choice of sites and the manner in which they are developed would determine the way in which water would be affected.
SA6 – Material Assets	+	Ensuring tourism related development reflects the Plan's settlement framework supports the intention to meet needs locally and reduce the need to travel.
SA7 - Soil	I	The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	Development has the potential to impact of features of landscape importance however the policy expressly states that developments should not have any significant impact on the landscape. Effects will depend on the implementation of the policy.
SA10 – Population	+	Tourism is a key component of Carmarthenshire's economy and a major source of employment. Increasing tourism jobs is likely to contribute to the retention of young people in the county.
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Economic growth and resulting inward migration has the potential to dilute Welsh language and culture in certain areas. However, it does increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	++	Tourism facilities aligned with corporate policies such as the County's cycling aspirations has the potential to encourage walking/cycling, access to natural and cultural heritage and access to health and recreation facilities.

SA13 – Education and Skills	+	Provision for year round tourism related initiatives is likely to result in an increase in employment and associated education, skills and training opportunities.
SA14 – Economy	++	This policy looks to facilitate tourism related development, which is a key component of Carmarthenshire's economy and a major source of employment.
SA15 – Social Fabric	+	Tourism is a key component of Carmarthenshire's economy and a major source of employment. Increasing tourism jobs is likely to contribute to the retention of young people in the county.
SA Comments and Suggestions		
LDP Response		
Changes made to policy as a result of SA		

SP 11: Placemaking, Sustainability and High Quality Design

In order to facilitate sustainable development, new development should acknowledge local distinctiveness and sense of place, and be designed to high standards that are adaptable to climate change.

In order to achieve this, all development should:

- Contribute towards the creation of attractive, safe places and public spaces, which enhance the well-being of communities, including safeguarding amenity, landscaping, the public realm and the provision of open space and recreation;
- Retain and, where appropriate, incorporate new green infrastructure which encourages (creates?) opportunities to enhance biodiversity and ecological connectivity;
- Be adaptable to climate change and utilise materials and resources appropriate to the area within which it is located;
- Exhibit and demonstrate a clear understanding of the existing natural and built heritage, local character and sense of place;
- Be accessible and integrated allowing permeability and ease of movement;
- Have regard to the generation, treatment and disposal of waste;
- Manage water sustainably, including incorporating sustainable urban drainage systems (SuDS) into development proposals where feasible.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	++	This policy supports sustainable development and includes regard to Well-being and integration of communities.
SA2 – Biodiversity	+	Retention and creation of green infrastructure creates opportunities to protect and enhance biodiversity and ecological connectivity.

SA3 – Air Quality	+	Retention and creation of green infrastructure will contribute to the filtering and removal of pollutants from the air.
SA4 – Climatic Factors	++	Retention and creation of green infrastructure can mitigate effects of climate change by recycling CO ₂ and also providing cooling effects and absorption of rain water which can reduce risk of flooding. This policy encourages development to be adaptable to climate change and encourages regard to be had to incorporating SuDS into development where feasible.
SA5 – Water	+	Encouraging the incorporation of SUDS into future development as well as retention and creation of green infrastructure aligns positively with SA5.
SA6 – Material Assets	+	This policy encourages new development to have regard for generation, treatment and disposal of waste.
SA7 - Soil	+	Retention and creation of green infrastructure aligns positively with the avoidance of loss of soils to non-permeable surfaces
SA8 – Cultural Heritage and Historic Environment	+	This policy actively seeks to promote high quality design that reflects local character and distinctiveness.
SA9 – Landscape	+	This policy actively seeks to promote high quality design in keeping with the surrounding landscape.
SA10 – Population	+	This policy encourages the creation of safe, attractive and accessible environments which in turn, create attractive spaces for all members of society, including young people and disadvantaged groups.
SA11 – Welsh Language	0	
SA12 – Health and Well-being	+	This policy encourages new development to have regard for Well-being and, in particular, access to open space and recreation.
SA13 – Education and Skills	0	
SA14 – Economy	+	Creation of vibrant, safe and sustainable communities is likely to encourage the retention and inflow of people to Carmarthenshire, which will contribute positively to the economy.
SA15 – Social Fabric	+	This policy encourages the creation of safe, attractive and accessible environments which in turn, create attractive spaces for all members of society, including young people and disadvantaged groups.
SA Comments and Suggestions		
<ul style="list-style-type: none"> Suggest specific reference is made to energy efficient design. <p>Suggested policy alteration: Be adaptable to climate change, <u>promote energy efficiency</u> and utilise materials and resources appropriate to the area within which it is located;</p>		

- Suggest reference to use of sustainable materials?

Suggested policy alteration:

Be adaptable to climate change and utilise materials and resources appropriate to the area within which it is located, **and that are, where feasible, sustainable.**

- Suggest reference to recycling of waste

Have regard to the generation, treatment, disposal **and recycling** of waste

- Strengthen wording for biodiversity

Suggested policy alteration:

Retain and, where appropriate, incorporate new green infrastructure which encourages (creates?) opportunities to **protect and** enhance biodiversity and ecological connectivity

LDP Response**Changes made to policy as a result of SA****SP 12: Rural Development**

The Plan supports development proposals which will contribute towards the sustainability of the County's rural communities. Development proposals in rural areas should demonstrate that they are proportionate in scale and that they support the rural settlements' role in the settlement hierarchy to meet the housing, employment and social needs of Carmarthenshire's rural communities.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	This policy contributes positively towards maintaining a sustainable economy in the County and promotes health, wellbeing and social inclusion.
SA2 – Biodiversity	-	This policy supports increased development in rural areas which is likely to increase development of greenfield land and have a negative impact on currently undisturbed and biodiversity sensitive areas.
SA3 – Air Quality	+	Promoting development in rural areas will alleviate pressure on urban areas that are close to or in breach of UK air quality objectives. Retention of facilities and services in rural settlements will also contribute positively by reducing private car use.
SA4 – Climatic Factors	+	Retention of facilities and services in rural settlements will also contribute positively by reducing private car use thereby reducing transport related carbon emissions.
SA5 – Water	-	Rural development is likely to result in a loss of permeable greenfield land to hard standing, potentially increasing flood risk and surface run off. This policy specifically states that development must consider effects on local infrastructure, which would include water supply and sewerage discharge.

SA6 – Material Assets	+	This policy supports the retention of facilities and services in rural settlements and therefore aids in addressing needs locally.
SA7 - Soil	-	Rural development is likely to result in a loss of permeable greenfield land to hard standing.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	-	Rural development is unlikely to result in derelict land being repurposed. The county has a number of Special Landscape Areas (SLA) which are largely rural which may be negatively impacted.
SA10 – Population	+	Retention and enhancement of rural facilities, services and employment opportunities is likely to have a positive effect on the retention of young people and inclusion of disadvantaged and minority groups in society.
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Economic growth in rural areas has the potential to dilute Welsh language and culture due to in migration of people, potentially from outside of the County. However, it does increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	+	Rural development would increase access to green spaces and the County's natural and cultural heritage. Retention and enhancement of rural facilities, services will also ensure access to local health and recreation services are likely to be protected.
SA13 – Education and Skills	+	This policy facilitates the retention and enhancement of rural facilities and services which is likely to ensure access to rural education facilities are protected.
SA14 – Economy	++	This policy seeks to address economic disparity between the north and south of the county, by providing local employment supported by a local workforce in rural area.
SA15 – Social Fabric	++	Retention and enhancement of rural facilities, services and employment opportunities is likely to have a positive effect on the retention of young people and inclusion of disadvantaged and minority groups in society.
SA Comments and Suggestions		
Make reference in policy to accessibility to public transport? Reference to placemaking and design SPG to reduce impacts on landscape and cultural heritage and encourage high quality design. Regard to SLA's which are largely rural.		
LDP Response		
Changes made to policy as a result of SA		

SP 13: Protection and Enhancement of the Natural Environment

Proposals for development will be expected to protect and enhance the County's natural environment.

Proposal must reflect the role an ecologically connected environment has in protecting and enhancing biodiversity, defining the landscape, creating a sense place and contributing to the sense of well-being.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	
SA2 – Biodiversity	++	This policy directly aligns with SA2 to protect and enhance the natural environment.
SA3 – Air Quality	+	Protection and enhancement of the natural environment will contribute to the filtering and removal of pollutants from the air.
SA4 – Climatic Factors	+	Protection and enhancement of the natural environment can mitigate effects of climate change by recycling CO ₂ and also providing cooling effects and absorption of rain water which can reduce risk of flooding.
SA5 – Water	+	This policy includes the protection and enhancement of waterbodies.
SA6 – Material Assets		
SA7 - Soil	+	This policy includes the protection and enhancement of soil resources.
SA8 – Cultural Heritage and Historic Environment		
SA9 – Landscape	+	This policy directly refers to the protection and enhancement of Carmarthenshire's landscape.
SA10 – Population		
SA11 – Welsh Language		
SA12 – Health and Well-being	+	Protecting and enhancing the County's natural assets will directly support promoting access to Carmarthenshire's natural heritage.
SA13 – Education and Skills		
SA14 – Economy	+	Protection of Carmarthenshire's natural assets preserves the biodiversity and unique natural environment within the County, which enhances the tourism and visitor economy.
SA15 – Social Fabric		
SA Comments and Suggestions		
LDP Response		
Changes made to policy as a result of SA		

SP 14: Protection and Enhancement of the Built and Historic Environment.

Development proposals should preserve or enhance the built and historic environment of the County, its cultural, townscape and landscape assets, and, where appropriate, their setting.

Proposals will be expected to promote high quality design that reinforces local character and respects and enhances the cultural and historic qualities of the plan area.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	+	Protection of the built and historic environment contributes positively towards sustainable development and well-being objectives.
SA2 – Biodiversity	0	
SA3 – Air Quality	0	
SA4 – Climatic Factors	0	
SA5 – Water	0	
SA6 – Material Assets	0	
SA7 – Soil	0	
SA8 – Cultural Heritage and Historic Environment	++	This policy directly supports the protection and enhancement of Carmarthenshire's cultural heritage and high quality design.
SA9 – Landscape	+	This policy directly supports the safeguarding of the County's townscapes and landscapes.
SA10 – Population	0	
SA11 – Welsh Language	0	
SA12 – Health and Well-being	+	Protection of the built and historic environment preserves access to cultural heritage for Well-being purposes.
SA13 – Education and Skills	0	
SA14 – Economy	+	Protection of Carmarthenshire's cultural assets preserves the diversity and rich heritage of the County, which enhances the tourism and visitor economy.
SA15 – Social Fabric	0	
SA Comments and Suggestions		
LDP Response		
Changes made to policy as a result of SA		

SP 15: Climate Change

Where development proposals respond to, are resilient to, adapt to and minimise the causes and impacts of climate change they will be supported. In particular proposals will be supported where they:

- reflect sustainable transport principles and minimise the need to travel, particularly by private motor car;
- Avoid, or where appropriate, minimise the risk of flooding including the incorporation of measures such as SUDS and flood resilient design;
- Promote the energy hierarchy by reducing energy demand, promoting energy efficiency and increasing the supply of renewable energy;

- d. Incorporate appropriate climate responsive design solutions including orientation, layout, density and low carbon solutions (including design and construction methods) and utilise sustainable construction methods where feasible.

Proposals for development which are located within areas at risk from flooding will be resisted unless they accord with the provisions of Planning Policy Wales TAN 15.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	++	Policy supports climate resilience in future development and will contribute to reducing Carmarthenshire's carbon footprint.
SA2 – Biodiversity	+	Encouraging sustainable transport will in turn have positive effects on air quality, which currently impacts on certain designated sites in the County.
SA3 – Air Quality	+	Encouraging sustainable transport will in turn have positive effects on air quality by reducing car related emissions.
SA4 – Climatic Factors	++	This policy supports the reduction of carbon emissions as well as future proofing new development to the risks of flooding, including reference to TAN 15. It also encourages all new development to be energy efficient and to incorporate climate resilient design.
SA5 – Water	+	Encouraging the incorporation of SUDS into future development as well as flood resilient design align positively with SA5.
SA6 – Material Assets	+	This policy ensures the consideration of sustainable transport in new development.
SA7 - Soil	0	
SA8 – Cultural Heritage and Historic Environment	0	
SA9 – Landscape	0	
SA10 – Population	0	
SA11 – Welsh Language	0	
SA12 – Health and Well-being	+	Minimising the need to travel supports active travel.
SA13 – Education and Skills	?	Has the potential to foster the development of skills associated with delivering innovative, climate responsive design.
SA14 – Economy	0	
SA15 – Social Fabric	0	
SA Comments and Suggestions		
Suggest specific reference is made to a reduction in carbon emissions in policy.		
Suggested policy alteration: <u>To contribute to a reduction in carbon emissions</u> by reflecting sustainable transport principles and minimising the need to travel, particularly by private motor car		
LDP Response		
Changes made to policy as a result of SA		

SP 16: Sustainable Distribution - Settlement Hierarchy

The provision of growth and development will be directed to sustainable locations in accordance with the following spatial framework.

Cluster 1

Tier 1: Carmarthen

Tier 2: Pontyates/Meinciau/Ponthenri, Kidwelly, Ferryside

Cluster 2:

Tier 1: Llanelli

Tier 2: Burry Port, Pembrey, Fforest/Hendy, Llangennech, Trimsaran/Caraway, Kidwelly, Ferryside

Cluster 3

Tier 1: Ammanford/Crosshands

Tier 2: Brynamman, Glanamman/Garnant, Pontyberem/Bancffosfelyn

Cluster 4

Tier 1: N/A

Tier 2: Newcastle Emlyn, Llanybydder, Pencader

Cluster 5

Tier 1: N/A

Tier 2: Llandovery, Llandeilo, Llangadog

Cluster 6

Tier 1: N/A

Tier 2: St Clears/Pwll Trap, Whitland, Laugharne

Tiers 3/4 for each cluster are listed in full in Appendix 4.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	++	The division of the settlement hierarchy into clusters provides a framework for sustainable development, allowing needs to be addressed locally and supporting a sustainable economy, in both rural and urban areas of the County.
SA2 – Biodiversity	-	Provision of growth and development, to rural areas is likely to impact on greenfield land and undisturbed areas of biodiversity.
SA3 – Air Quality	+	Directing growth to sustainable locations with sufficient access to facilities, services and public transport links is likely to reduce private car use and associated air pollution.
SA4 – Climatic Factors	+	Directing growth to sustainable locations with sufficient access to facilities, services and transport is likely to reduce private car use and associated carbon emissions.
SA5 – Water	?	Information required from DCWW Review of Consents as to site specific capacity for

		growth with respect to water abstraction and waste water treatment.
SA6 – Material Assets	++	Directing growth to sustainable locations with sufficient access to facilities and services is likely to allow needs to be met locally. It is also likely to maximise access to public transport.
SA7 - Soil	I	The alignment of this policy with SA7 is dependent on the choice of sites and manner in which they are developed
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed
SA9 – Landscape	I	The alignment of this policy with SA9 is dependent on the choice of sites and manner in which they are developed
SA10 – Population	++	Distribution of development to sustainable locations in both urban and rural settlements is likely to result in vibrant and viable communities, which will in turn help to retain and attract young people
SA11 – Welsh Language	+/-	Alignment of this policy with SA11 is difficult to determine. Growth and inward migration has the potential to dilute Welsh language and culture in certain areas. However, it does increase the potential for retaining young Welsh speakers in the county and so may also have a positive effect.
SA12 – Health and Well-being	+	Growth in line with the settlement hierarchy has the potential to create and/or retain communities with population densities high enough to support new, accessible leisure and health care facilities.
SA13 – Education and Skills	+	Growth in line with the settlement hierarchy has the potential to create and/or retain communities with population densities high enough to support new, accessible educational and training facilities.
SA14 – Economy	++	Growth in line with the settlement hierarchy provides opportunity to support sustainable rural and urban economies across the county.
SA15 – Social Fabric	++	Growth in line with the settlement hierarchy provides opportunity to address needs locally and to promote the design of vibrant, inclusive settlements.
SA Comments and Suggestions		
LDP Response		
Changes made to policy as a result of SA		

SP 17: Transport and Accessibility

Sustainable and deliverable development requires an integrated, accessible, reliable, efficient, safe and sustainable transport network to underpin delivery. The Plan therefore contributes to the delivery of a sustainable transport system and associated infrastructure through:

- a) Reducing the need to travel, particularly by private motor car;
- b) Addressing social inclusion through increased accessibility to employment, services and facilities;
- c) Supporting and where applicable enhancing alternatives to the motor car, such as public transport (including park and ride facilities and encourage the adoption of travel plans) and active transport through cycling and walking;
- d) Re-enforcing the function and role of settlements in accordance with the settlement framework;
- e) Promoting the efficient use of the transport network;
- f) Enhancing accessibility to employment, homes, services and facilities at locations accessible to appropriate transport infrastructure – including significant trip generating proposals;
- g) The incorporation of design and access solutions within developments to promote accessibility. Provide walking and cycling routes, linking in with active travel networks and green infrastructure networks; and
- h) Adopt a sustainable approach to the design, function and layout of new development, including providing appropriate levels of parking.

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	++	This policy underpins the ability to deliver develop sustainably, by reducing private car use and ensuring access to services and facilities.
SA2 – Biodiversity	+	Reduced private car use will decrease related air pollutants that have negative effects on European designated sites in some areas of Carmarthenshire.
SA3 – Air Quality	++	This policy will contribute to the delivery of a sustainable travel network which will have strong positive effects on improving air quality.
SA4 – Climatic Factors	+	This policy will contribute to the delivery of a sustainable travel network which will reduce private car use and associated greenhouse gas emissions.
SA5 – Water	0	
SA6 – Material Assets	++	This policy will contribute to the delivery of a sustainable travel network including active travel such as walking and cycling.
SA7 - Soil	0	
SA8 – Cultural Heritage and Historic Environment	0	
SA9 – Landscape	0	
SA10 – Population	+	This policy looks to address social inclusion through increased accessibility to employment, services and facilities
SA11 – Welsh Language	0	
SA12 – Health and Well-being	+	This policy looks to increase accessibility to services and facilities including health and leisure facilities.

SA13 – Education and Skills	+	This policy looks to increased accessibility to services and facilities including education and skills facilities.
SA14 – Economy	0	
SA15 – Social Fabric	+	This policy looks to address social inclusion through increased accessibility to employment, services and facilities
SA Comments and Suggestions		
None Suggested		
LDP Response		
Changes made to policy as a result of SA		

SP 18: Mineral Resources

The County's identified mineral resources will be sustainably managed by:

- a) Ensuring supply by maintaining an adequate landbank of permitted aggregate reserves (hard rock and sand and gravel) throughout the Plan period;
- b) Encouraging the efficient and appropriate use of high quality minerals and maximising the potential for the re-use and recycling of suitable minerals as an alternative to primary won aggregates;
- c) Safeguarding areas underlain by minerals of economic importance where they could be worked in the future to ensure that such resources are not unnecessarily sterilised by other forms of development;
- d) The use of buffer zones to reduce the conflict between mineral development and sensitive development;
- e) Securing appropriate restoration which can deliver specific environmental and community benefits

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	I	The alignment of this policy with SA1 is dependent on the choice of sites and manner in which they are developed.
SA2 – Biodiversity	-	The location of aggregates is driven by site specific geological conditions and so has less flexibility to avoid impacts on sensitive ecological features. Mineral workings are also likely to be situated in undeveloped areas.
SA3 – Air Quality	-	The location of aggregates is driven by site specific geological conditions and so reducing distances required to travel in order to transport goods will be difficult.
SA4 – Climatic Factors	-	The location of aggregates is driven by site specific geological conditions and so reducing distances required to travel in order to transport goods will be difficult.
SA5 – Water	0	
SA6 – Material Assets	?	This policy safeguards aggregate reserves to ensure their future availability. However, the extraction of mineral resources must be balanced with the use of recycled and secondary materials.

SA7 - Soil	-	The location of aggregates is driven by site specific geological conditions and so has less flexibility to avoid impacts on specific soil resources.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	-	The location of aggregates is driven by site specific geological conditions and so has less flexibility to avoid impacts on sensitive landscape areas. Mineral workings are also likely to be situated in undeveloped areas.
SA10 – Population	0	
SA11 – Welsh Language	0	
SA12 – Health and Well-being	0	
SA13 – Education and Skills	0	
SA14 – Economy	+	Extraction of aggregates supports development and economic growth.
SA15 – Social Fabric	0	
SA Comments and Suggestions		
Suggest more in the supporting text to support point (e) securing appropriate restoration which can deliver specific- environmental and community benefits.		
Reference to access to transport links such as rail/or water transport as opposed to road haulage.		
LDP Response		
Changes made to policy as a result of SA		

SP 19: Waste Management

Provision will be made to facilitate the sustainable management of waste through:

- a) The allocation of adequate appropriate land to provide for an integrated network of waste management facilities;
- b) Supporting proposals for waste management which involve the management of waste in accordance with the ranking set out within in the waste hierarchy;
- c) Supporting proposals for new in-building waste management facilities at existing and allocated industrial sites which are suitable for waste management facilities;
- d) Acknowledging that certain types of waste facility may need to be located outside the development limits of settlements;
- e) Ensuring that provision is made for the sustainable management of waste in all new development, including securing opportunities to minimise the production of waste;

SA Objective	Appraisal	Comments
SA1 – Sustainable Development	I	The alignment of this policy with SA1 is dependent on the choice of sites and manner in which they are developed.
SA2 – Biodiversity	-	Development or disposal from waste may adversely impact natural habitats.

SA3 – Air Quality	I	Energy from Waste (EfW) sites are tightly regulated with respect to pollutants such as SO ₂ , NO _x , HCl and CO. Effects ultimately depend on the type and location of waste management facilities.
SA4 – Climatic Factors	I	Energy from Waste (EfW) sites are tightly regulated with respect to pollutants such as SO ₂ , NO _x , HCl and CO. Effects ultimately depend on the type and location of waste management facilities.
SA5 – Water	0	
SA6 – Material Assets	+	This policy directly refers to the waste hierarchy and the promotion of recycling and minimising waste.
SA7 - Soil	-	Waste disposal including landfill and disposal of ash from EfW sites may adversely affect soil resources.
SA8 – Cultural Heritage and Historic Environment	I	The alignment of this policy with SA8 is dependent on the choice of sites and manner in which they are developed.
SA9 – Landscape	-	Proposals for waste management have the potential to have a negative impact on landscapes
SA10 – Population	0	
SA11 – Welsh Language	0	
SA12 – Health and Well-being	I	The alignment of this policy with SA12 is dependent on the choice of sites and manner in which they are developed.
SA13 – Education and Skills	0	
SA14 – Economy	+	New waste management sites generate jobs and local, long term employment opportunities.
SA15 – Social Fabric	0	
SA Comments and Suggestions		
Policy should include a criterion stating that no significant impacts in the environment should occur as a result of waste management proposals. Suggest more in the supporting text regarding sustainable location of waste management facilities especially when situated outside of development limits. Make reference to design of buildings being in keeping with surrounding landscape. Include reference to the proximity principle to minimise distance between where waste is generated and managed.		
LDP Response		
Changes made to policy as a result of SA		

7. Overall Effects and Mitigation

Figure 8 brings together the previous appraisals of Chapters 5 and 6 to show what the overall cumulative impacts of the Preferred Strategy would be.

Overall, the Preferred Strategy would have significant benefits in terms of providing the housing and employment land required to support sustainable growth in Carmarthenshire. It performs well against the socio-economic objectives of the sustainability framework, with strategic options that look to improve access to good quality jobs, services and infrastructure across the County, with a view to addressing some of the disparity between rural and urban areas. The Preferred Strategy also aims to improve health and well-being across the County, with better housing, access to open space and active travel facilities.

As is the case with any development, some potential negative impacts remain, in particular with regards to biodiversity, air quality and climatic factors. However, with suitable mitigation in place, this negative impact can be reduced.

Some mitigation measures have already been implemented within the Strategy as a result of the SA appraisal, such as the selection of a Hybrid spatial option that looked to combine the best aspects of the existing alternatives. The Sustainability has also suggested some changes to the wording of the Strategic Policies which are detailed in Chapter 6 of this report. Table 8 proposed measures to avoid or reduce additional plan-wide impacts of the Preferred Strategy. It also makes suggestions for how to improve the benefits of the Preferred Strategy as well as addressing some uncertainty that may remain.

Table 7 Residual Impacts of Preferred Strategy and Suggested Mitigation.

Significant impacts of the Preferred Strategy	Suggestions for avoiding or mitigating negative impacts or enhancing positive ones	LDP Response
Capacity for water infrastructure to facilitate growth is unclear	Confirm with Dŵr Cymru that water provision and wastewater treatment infrastructure will be adequate for the amount of development being proposed	
Potential for development in Llanelli to directed to areas within C1/C2 flood zones	Llanelli flood work?	
Potential for increasing development in Llanelli which may increase pressure on sewerage infrastructure which may have implications for the Carmarthen Bay and Estuaries Marine Site.	Review of current Memorandum of Understanding (MOU) between Carmarthenshire County Council, Swansea Council, Dwr Cymru and Natural Resources Wales to ensure it is still for purpose.	

	Ensure the incorporation of SuDS into new development proposals where feasible with a specific policy, including a requirement for demonstration of accordance with section 8 of TAN 15, as well as the existing SPG on Place Making and Design.	
Air pollution and greenhouse gas emissions likely to increase with projected growth over the plan period.	Ensure site allocations are sustainably located with sufficient access to public transport.	
	A specific policy relating to improvement of air quality detailing how air quality, with particular regard to NO ₂ and the three existing AQMA's, can be both conserved and enhanced under the new plan.	
	A specific policy should also require the retention, protection and enhancement of a network of landscape features that contribute to air purification, such as trees, natural vegetation or other green infrastructure.	
	Requirement for new development to show regard of the AQMA action plans as well as the UK Air Quality Strategy and objectives, and any proposals with potential adverse effects on National and/or International sites of biodiversity importance should require mitigation measures to be implemented.	
Potential impacts on biodiversity as a result of development	Ensure a specific policy that reflects the Environment Act with regards to protection and enhancement of biodiversity.	
Other possibilities for improving benefits or reducing impacts	Suggest a green infrastructure plan that coordinates the protection and enhancement of green infrastructure throughout the county with regards to development.	

Figure 8 Summary of Sustainability Appraisal of Preferred Strategy

SA Objective	SA1 Sustainable Development	SA2 Biodiversity	SA3 Air Quality	SA4 Climatic Factors	SA5 Water	SA6 –Material Assets	SA7 Soil	SA8 Cultural heritage and Historic Environment	SA9 Landscape	SA10 Population	SA11 The Welsh Language	SA12 Health and Well-being	SA13 Education and Skills	SA14 Economy	SA15 Social Fabric
Vision	+	+	?	?	?	+	?	?	?	+		+	+	+	+
Objectives	++	+	+	+	+	+	+	+	+	++	+	+	+	+	++
Growth Option 4	+	+/-	+/-	+/-	?		+/-			+	+	?	?	+	+
Spatial Option Hybrid	+		+	+/-	+	+				++	+	++	++	++	++
Strategic Policies															
SP1	+	-	-	-	?	+				++	+/-	+	+	++	+
SP2	+		+/-	+/-					+	+				++	
SP3	+	-	-	-	+	+				++	+/-	+	+	++	+
SP4	+									++	+	+	+	+	++
SP5	+	-	+/-	+/-	?	+				++	+	++	++	++	++
SP6	+	-	+/-	+	?	+				++	+/-		+	++	+
SP7	+							+		+	++		+	+	++
SP8	++	+/-	+	+	+	+	-	-	-	++		+	+	+	++
SP9	+				?					+					+
SP10	+		+/-	+/-		+				+	+/-	++	+	++	+
SP11	++	+	+	++	+	+	+	+	+	+		+		+	+
SP12	+	-	+	+	-	+	-		-	+	+/-	+	+	++	++
SP13	+	++	+	+	+		+		+			+		+	
SP14	+							++	+			+		+	
SP15	++	+	+	++	+	+						+	?		
SP16	++	-	+	+	?	++				++	+/-	+	+	++	++
SP17	++	+	++	+		++				+		+	+		++
SP18		-	-	-		?	-		-					+	
SP19		-				+	-		-					+	

8. Sustainability Appraisal Monitoring Framework

The LDP Deposit Plan will set out a monitoring framework which will assess not only how effectively the LDP is performing but also the SA implications. This will in turn help inform the LPA when it considers the need to review and amend the LDP. The results will be reported and published through the LDP Annual Monitoring Report.

At the Preferred Strategy stage of the LDP process, proposals and policies are only at a strategic stage and so it is difficult to set out a detailed monitoring framework. The SA monitoring framework will be finalised at Stage E of the SA process and is therefore at this stage evolving and subject to change as a result of emerging policies at local and national levels and consultation.

The SA Monitoring Framework is outlined in Table 8 below. The sources for each of the data sets referred to are listed in Appendix 2.

Table 8 Draft Sustainability Monitoring Framework

SA Topic	SA Objective	Monitoring Indicator	Target/Trend
SA1 Sustainable Development	1-1 To live within environmental limits	The Ecological Footprint of Wales	Reducing
	1-2 To ensure a strong, healthy and just society		
	1-3 To achieve a sustainable economy	Monitored via SA14	
	1-4 To remove barriers and promoting opportunities for behavioural change		
SA2 Biodiversity	2-1 To avoid damage or fragmentation of designated sites, habitats and protected species and encourage their enhancement	Number of planning applications granted which have an adverse effect on the : a) integrity of Natura 2000 site b) integrity of designated site for nature conservation c) favourable conservation status of European protected species	No applications granted which have an adverse effect on a), b) or c)
	2-2 To protect, enhance and create appropriate wildlife habitats and wider biodiversity in urban and rural areas		
SA3 Air Quality	3-1 To maintain/reduce the levels of the UK national air quality pollutants	Air Quality Indicators (by Local Authority). Modelled, population weighted average concentrations.	Reducing
		Number of breaches of EU/UK NO2 Air Quality objectives in Carmarthenshire.	Reducing
	3-2 To reduce levels of ground level ozone		
	3-3 To reduce the need to travel through appropriate siting of new developments and provision of public transport infrastructure	Total traffic on major roads (by Local Authority) • Cars	Reducing
SA4 Climatic Factors	4-1 To reduce the emission of greenhouse gases	Annual CO2 emissions estimates (by Local Authority)	Reducing
	4-2 To minimise the vulnerability of Carmarthenshire to the effects of climate change through making space for water, coastal retreat and shifting habitat distribution patterns	Number of applications permitted within C1 and C2 floodplain areas contrary to advice of DCWW/NRW	No applications permitted contrary to DCWW/NRW advice
	4-3 To encourage all new developments to be climate resilient		
	4-4 To encourage energy conservation and higher energy efficiency		
	4-5 To minimise energy consumption and promote renewable energy sources	a) Number of, and b) Installed capacity permitted renewable energy and low carbon technology developments.	Increasing
SA5 Water	5-1 To ensure water quality of rivers, lakes, groundwater and coastal areas is improved and ensure that the hydromorphological quality of the water bodies is maximised	Annual Bathing Water Quality classification for a) Pembrey b) Pendine bathing sites in Carmarthenshire	Maintain excellent water quality classification

		% water bodies at 'good' classification status or above for a) Ecological status b) Chemical status	a) Increase b) Increase
	5-2 To protect and maintain water resources in the public supply chain and ensure enough water is available for the environment at all times of the year	Carmarthen Bay Catchment Abstraction Management Strategy Water resource availability	No reduction
	5-3 To minimise diffuse pollution from urban and rural areas	Percentage of permitted sites that incorporate SUDS.	Increasing
	5-4 To increase water efficiency in new and refurbished developments	Number of houses built meeting the water efficiency threshold set by the government in Building Regulation Part G2.36(1).	Increasing
	5-5 To make space for water and minimise flood risk	Number of applications permitted within C1 and C2 floodplain areas contrary to advice of DCWW/NRW	No applications permitted contrary to DCWW/NRW advice
		Number of properties (homes and businesses) at medium or high risk of flooding from rivers and the sea	
SA6 – Material Assets	6-1 Minimise the use of finite resources and promote higher resource efficiency and the use of secondary and recycled materials		
	6-2 Promote the waste hierarchy of reduce, reuse and recycle	% Waste reuse/recycling/composting (by Local Authority)	Increasing
	6-3 Encourage needs to be met locally		
	6-4 Promote the use of more sustainable resources		
	6-5 Improve the integration of different modes of transport	Percentage of total traffic a) Bicycles b) Buses and Coaches c) Cars	a) Increasing b) Increasing c) Decreasing
	6-6 Promote the use of more sustainable modes of transport (e.g. cycling and walking)	Total Annual Bicycle Counts (Carmarthenshire Active Travel)	Increasing
SA7 - Soil	7-1 To avoid and reduce contamination of soils and promote the regeneration of contaminated land	Area of contaminated land	Decreasing
	7-2 To avoid loss of soils to non-permeable surfaces and minimised soil erosion	Percentage of permitted developments that incorporate SUDS.	Increasing
	7-3 To reduce SO ₂ and NO _x emissions and nitrate pollution from agriculture		
SA 8	8-1 To protect historic and cultural assets and local distinctiveness from	Number of developments permitted adversely impacting	No development permitted adversely

- Cu	negative effects of development/regeneration and support their enhancement	upon buildings and areas of built or historical interest and their setting	impacting upon buildings and areas of built or historical interest and their setting
	8-2 To promote high quality design reflecting local character and distinctiveness	Number of applications refused on design grounds	For reference
SA9 - Landscape	9-1 To protect and enhance landscape/townscape from negative effects of land use change		
	9-2 To take sensitive locations into account when siting development and promote high quality design	Number of developments permitted which have an adverse impact on a Special Landscape Area	No developments permitted which have an adverse impact on a Special Landscape Area
	9-3 To encourage appropriate future use of derelict land		
SA10 - Population	10-1 Ensure suitable, affordable housing stock with access to education and employment facilities	Number of affordable dwellings permitted	
	10-2 Promote the retention of younger people	% persons aged a) 15-29 b) 30 – 44 residing in Carmarthenshire	Increasing
	10-3 Promote inclusion of disadvantaged and minority groups in society	Percentage of people agreeing a) that they belong to the area; b) that people from different backgrounds get on well together c) that people treat each other with respect.	Increasing
SA11 – The Welsh Language	11-1 Encourage growth of the Welsh language and culture	% of people who can speak Welsh (by Local Authority)	Increasing
SA12 – Health and Well-Being	12-1 Create opportunities for people to live active, healthy lifestyles through planning activities	Percentage of adults reported as being a) overweight b) obese (by Health Board)	Decreasing
	12-2 Provide access to health and recreation facilities and services	Percentage of people satisfied/very satisfied with their ability to get to/access the facilities and services they need (by Local Authority)	Increasing
	12-3 Encourage walking or cycling as an alternative means of transportation	Total Annual Bicycle Counts (Carmarthenshire Active Travel)	Increasing
		Percentage of people surveyed method of travel to work (by Local Authority) (a) On foot (b) By bicycle (c) By Car	(a) Increasing (b) Increasing (c) Decreasing
	12-4 Promote access to Wales' natural and cultural heritage	Amount of open space lost to development (ha)	No open space lost to development

		Percentage of people attending or participating in arts, culture or heritage activities at least three times a year.(by Local Authority)	Increasing
SA13 – Education and Skills	13-1 Provide accessible educational and training facilities which meet the future need of the area		
	13-2 Increase levels of literacy (in both Welsh and English) and numeracy		
	13-3 Promote lifelong learning	Level of highest qualification held by adults of working age in Wales (by Local Authority).	
SA14 – Economy	14-1 To promote sustainable economic growth	Gross Value Added (GVA) per head (South West Wales value)	Increasing
	14-2 To provide good quality employment opportunities for all sections of the population	Percentage of population in part and full time or self-employment	Increasing
		Amount of employment land lost to non-employment uses	No loss of employment land
	14-3 To promote sustainable businesses in Wales	Number of new active businesses in Carmarthenshire	Increasing
		Number of active business closures in Carmarthenshire	Decreasing
SA15 – Social Fabric	15-1 Improve safety and security for people and property	Average annual crime level (Carmarthenshire)	Decreasing
		Probability of feeling safe (by local authority)	Increasing
	15-2 Promote the design of settlements that improve social fabric by removing barriers and creating opportunities for positive interactions	Probability of having a strong sense of community (by local authority area)	Increasing
		Percentage of people agreeing a) that they belong to the area; b) that people from different backgrounds get on well together c) that people treat each other with respect.	Increasing
	15-3 Promote the deliverability of affordable housing	Proportion of affordable housing as a percentage of new homes delivered	
	15-4 Improve accessibility to services, particularly for disadvantaged sections of society	Percentage of people satisfied with their ability to get to/ access the facilities and services they need	Increasing

9. Conclusions and Next Steps

Conclusions

The SA has described and evaluated the likely significant effects of the revised LDP Preferred Strategy and has been produced in accordance with Regulation 12(5).

A core principle of the preferred strategy is to deliver sustainable development over the lifetime of the revised LDP, by supporting sufficient residential growth that meets the County's needs; permitting development that encourages economic growth; ensuring there is a sufficient social infrastructure to meet community needs and protecting and, where possible, enhancing, the County's natural environment.

It is recognised that the SA has been strategic, due to the nature of the Preferred Strategy. However, it is important that conflicts raised in the SA are adequately addressed and mitigated in the LDP Deposit Plan. Particular regard should be made to:

- Biodiversity and habitat loss
- Increasing traffic and the associated impacts on air quality
- Impacts on the water environment in line with WFD and HRA requirements

Next Stages of the SA Process

This SA report will be available for public consultation alongside the revised LDP Preferred Strategy for a **XX** week period between **XXX** and **XXX**. A non-technical summary is also available, as well as this full version of the document. Copies of these documents are available from the Forward Planning Section of Carmarthenshire County Council or can be viewed on the Authority's website: www.carmarthenshire.gov.uk

The SA reports can also be inspected at the Council's Customer Service Centres and at Planning Offices in Carmarthen, Llanelli and Llandeilo.

Responses to this consultation may be made online at xxxxxx or forms may be downloaded from the website and are also available from the above locations or by contacting the Forward Planning Section directly.

Your views on the SA Initial Report should be sent in writing to:

Forward Planning Section,
Environment Department,
7/8 Spilman Street,
Carmarthen,
Carmarthenshire,
SA31 1JT

Or via email: forward.planning@carmarthenshire.gov.uk
Or online at: www.carmarthenshire.gov.uk

Appendices

Appendix 1 Sustainability Appraisal Framework

SA Objectives	Decision Making Influences
1 Sustainable Development	
1-1 To live within environmental limits 1-2 To ensure a strong, healthy and just society 1-3 To achieve a sustainable economy 1-4 To remove barriers and promoting opportunities for behavioural change	Will the LDP contribute to reducing resource consumption? Will the LDP encourage needs to be met locally? Will the LDP encourage individuals, companies and businesses to make more sustainable choices?
2 Biodiversity	
2.1 To avoid damage or fragmentation of designated sites, habitats and protected species and encourage their enhancement 2-2 To protect, enhance and create appropriate wildlife habitats and wider biodiversity in urban and rural areas	Are there any designated or non-statutory nature conservation sites that may be affected by the LDP? Is there any evidence of protected species that may be affected? Will there be any opportunities for enhancing or recovering wildlife resources? Will there be any opportunities to create new habitats?
3 Air Quality	
3-1 To maintain/reduce the levels of the UK National Air Quality pollutants 3-2 To reduce levels of ground level ozone 3-3 To reduce the need to travel, through appropriate siting of new developments and provision of public transport infrastructure	Will the LDP have a positive or negative impact on the existing air quality baseline? Will the LDP increase or decrease the emissions of air pollutants from developments? Will the LDP increase or decrease the emissions of air pollutants from transport?
4 Climactic Factors	
4-1 To reduce the emission of greenhouse gases 4-2 To minimise the vulnerability of Carmarthenshire to the effects of climate change through making space for water, coastal retreat and shifting habitat distribution patterns 4-3 To encourage all new developments to be climate resilient 4-4 To encourage energy conservation and higher energy efficiency. 4-5 To minimise energy consumption and promote renewable energy sources.	Will the LDP have a positive or negative impact on the emissions of carbon dioxide from new development in the County? Will the LDP contribute to a reduction in carbon dioxide emissions from traditional forms of energy generation? Will the LDP put a larger number of residents at risk of flooding?

	<p>Are new developments climate resilient?</p> <p>Does the LDP leave room for habitat adjustment and coastal and fluvial flood water?</p>
5 Water	
<p>5-1 To ensure water quality of rivers, lakes, groundwater and coastal areas is improved and ensure that the hydromorphological quality of water bodies is maximised.</p> <p>5-2 To protect and maintain water resources in the public supply chain and ensure enough water is available for the environment at all times of year.</p> <p>5-3 To minimise diffuse pollution from urban and rural areas.</p> <p>5-4 To increase water efficiency in new and refurbished developments</p> <p>5-5 To make space for water, and minimise flood risk</p>	<p>Will there be an increase or decrease in the discharge of pollutants to water?</p> <p>Will there be an increase or decrease in water consumption from development?</p> <p>Will the LDP have a positive or negative effect on water quality and hydromorphology?</p> <p>Will it contribute to an increase in flood risk?</p> <p>Will it contribute to a reduction in flood risk?</p>
6 Material Assets	
<p>6-1 Minimise the use of finite resources and promote higher resource efficiency and the use of secondary and recycled materials.</p> <p>6-2 Promote the waste hierarchy of reduce, reuse and recycle.</p> <p>6-3 Encourage needs to be met locally.</p> <p>6-4 Promote the use of more sustainable resources.</p> <p>6-5 Improve the integration of different modes of transport.</p> <p>6-6 Promote the use of more sustainable modes of transport (e.g. cycling and walking).</p>	<p>Will the LDP contribute to increased rates of recycling and higher resource efficiency?</p> <p>Will the LDP ensure that needs can be met locally?</p> <p>Will the LDP allow people to make more sustainable transport choices?</p>
7 Soil	
<p>7-1 To avoid and reduce contamination of soils and promote the regeneration of contaminated land.</p> <p>7-2 To avoid loss of soils to non-permeable surfaces and minimise soil erosion.</p> <p>7-3 To reduce SO₂ and NO_x emissions and nitrate pollution from agriculture.</p>	<p>Will the LDP increase or decrease land contamination?</p> <p>Will the LDP result in an increase or loss of good quality soil resources?</p> <p>Will the LDP improve or degrade soil quality?</p> <p>Will the LDP involve development on previously used land?</p>
8 Cultural Heritage and Historic Environment	
<p>8-1 To protect historic and cultural assets and local distinctiveness from negative effects of development/regeneration and support their enhancement</p> <p>8-2 To promote high quality design reflecting local character and distinctiveness</p>	<p>Are there any sites of archaeological importance that can be positively or negatively affected by the LDP?</p> <p>Are there any historic landscapes that can be positively or negatively affected by the LDP?</p>

	Are there any listed buildings that can be positively or negatively affected by the LDP?
9 Landscape	
9.1 To protect and enhance landscape/townscape from negative effects of land use change 9.2 To take sensitive locations into account when siting development and to promote high quality design 9.3 To encourage appropriate future use of derelict land	Will the LDP have a positive or negative impact on landscapes or townscapes? Will the LDP have a positive or negative impact on designated landscapes? Will the LDP encourage the redevelopment of previously developed land?
10 Population	
10-1 Ensure suitable, affordable housing stock with access to education and employment facilities 10-2 Promote the retention of younger people 10-3 Promote inclusion of disadvantaged and minority groups into society	Will the LDP increase the provision of affordable housing in Carmarthenshire? Will the LDP contribute to promoting the retention of young people in the county? Will the LDP contribute to social inclusion?
11 The Welsh Language	
11-1 Encourage growth of the Welsh language and culture	Will the LDP encourage the growth of the Welsh language and culture?
12 Health and Well-being	
12-1 Create opportunities for people to live active, healthy lifestyles through planning activities 12-2 Provide access to health and recreation facilities and services 12-3 Encourage walking or cycling as alternative means of transportation 12-4 Promote access to Wales' natural and cultural heritage	Will there be a positive or negative impact on human health? Will access to health services and recreation facilities including natural heritage features be increased? Will the LDP increase opportunities for walking and cycling?
13 Education and Skills	
13-1 Provide accessible educational and training facilities which meet the future needs of the area 13-2 Increase levels of literacy (in English and Welsh) and numeracy 13-3 Promote lifelong learning	Will the LDP contribute to increasing attainment levels amongst young people? Will the LDP promote access to education facilities for all members of the community? Will the LDP contribute to increasing literacy and numeracy levels?
14 Economy	

14-1 To promote sustainable economic growth 14-2 To provide good quality employment opportunities for all sections of the population 14-3 To promote sustainable businesses in Wales	Will there be any adverse economic impacts on land and premises in employment use? Will there be a positive or negative impact on jobs opportunities as a result of the LDP?
15 Social Fabric	
15-1 Improve safety and security for people and property 15-2 Promote the design of settlements that improve social fabric by removing barriers and creating opportunities for positive interactions 15-3 Promote the delivery of affordable housing 15-4 Improve accessibility to services, particularly for disadvantaged sections of society.	Will the LDP contribute to making housing more affordable? Will the LDP contribute to creating settlements that are safe and of a high quality urban fabric? Will the LDP contribute to creating healthier homes? Will the LDP maximise access to services and facilities for all members of the community by different modes of transport?

Appendix 2 Sustainability Monitoring Framework – Data Sources

SA Topic	SA Objectives	Monitoring Indicator	Source
1 – Sustainable Development	1-1 To live within environmental limits	The Ecological Footprint of Wales	Future Generations National Indicator 14 https://gov.wales/topics/environmentcountryside/climatechange/publications/ecological-footprint-of-wales-report/?lang=en
	1-2 To ensure a strong, healthy and just society		
	1-3 To achieve a sustainable economy	Monitored via SA14	
	1-4 To remove barriers and promoting opportunities for behavioural change		
2 - Biodiversity	2-1 To avoid damage or fragmentation of designated sites, habitats and protected species and encourage their enhancement	Number of planning applications granted which have an adverse effect on the : a) integrity of Natura 2000 site b) integrity of designated site for nature conservation c) favourable conservation status of European protected species	Carmarthenshire County Council planning data
	2-2 To protect, enhance and create appropriate wildlife habitats and wider biodiversity in urban and rural areas		
3 – Air Quality	3-1 To maintain/reduce the levels of the UK national air quality pollutants	Air Quality Indicators (by Local Authority). Modelled, population weighted average concentrations.	Future Generations Indicator 4 https://statswales.gov.wales/Catalogue/Environment-and-Countryside/Air-Quality/airqualityindicators-by-localauthority
		Number of breaches of EU/UK Air Quality objectives in Carmarthenshire.	Local Air Quality Management (LAQM) monitored by Carmarthenshire County Council Public Health.

	3-2 To reduce levels of ground level ozone		
	3-3 To reduce the need to travel through appropriate siting of new developments and provision of public transport infrastructure	Total traffic on major roads, in thousand vehicle miles – cars (by local authority)	Department for Transport (DfT) traffic count data (by Local Authority) https://www.dft.gov.uk/traffic-counts/area.php?region=Wales&la=Carmarthenshire
4 - Climatic Factors	4-1 To reduce the emission of greenhouse gases	Annual CO2 levels (by Local Authority)	UK local authority and regional CO2 emissions national statistics: https://www.gov.uk/government/collections/uk-local-authority-and-regional-carbon-dioxide-emissions-national-statistics#2018
	4-2 To minimise the vulnerability of Carmarthenshire to the effects of climate change through making space for water, coastal retreat and shifting habitat distribution patterns	Number of applications permitted within C1 and C2 floodplain areas contrary to advice of DCWW/NRW	Carmarthenshire County Council planning data
	4-3 To encourage all new developments to be climate resilient		
	4-4 To encourage energy conservation and higher energy efficiency		
	4-5 To minimise energy consumption and promote renewable energy sources	a) Number of, and b) Installed capacity permitted renewable energy and low carbon technology developments.	Carmarthenshire County Council planning data

5 - Water	5-1 To ensure water quality of rivers, lakes, groundwater and coastal areas is improved and ensure that the hydromorphological quality of the water bodies is maximised	Annual Bathing Water Quality classification for bathing sites in Carmarthenshire	Environment Agency Water Quality data https://www.carmarthenshire.gov.wales/home/council-services/environmental-health/bathing-water/#.WzNhqOmQyUk
		% water bodies at 'good' classification status or above for a) Ecological status b) Chemical status	Water Framework Directive classification http://waterwatchwales.naturalresourceswales.gov.uk/en/
	5-2 To protect and maintain water resources in the public supply chain and ensure enough water is available for the environment at all times of the year	Carmarthen Bay Catchment Abstraction Management Strategy Water resource availability	NRW Abstraction management plans https://naturalresources.wales/guidance-and-advice/environmental-topics/water-management-and-quality/water-available-in-our-catchments/?lang=en
	5-3 To minimise diffuse pollution from urban and rural areas	Proportion of developments that incorporate SUDS.	Carmarthenshire County Council planning data
	5-4 To increase water efficiency in new and refurbished developments	Number of houses built meeting the water efficiency threshold set by the government in Building Regulation Part G2.36(1).	Reference: https://gov.wales/topics/planning/buildingregs/approved-documents/part-g-sanitation/?lang=en CCC Building Control
	5-5 To make space for water and minimise flood risk	Number of applications permitted within C1 and C2 floodplain areas contrary to the advice of NRW/Dwr Cymru	Carmarthenshire County Council planning data
		Number of properties (homes and businesses) at medium or high risk of flooding from rivers and the sea	Future Generations National Indicator 32 https://statswales.gov.wales/Catalogue/Environment-and-Countryside/Flooding/environment-and-countryside-state-of-the-environment-our-local-environment-properties-at-risk-of-flooding

6 – Material Assets	6-1 Minimise the use of finite resources and promote higher resource efficiency and the use of secondary and recycled materials		
	6-2 Promote the waste hierarchy of reduce, reuse and recycle	% Waste reuse/recycling/composting (by Local Authority)	Future Generations National Indicator 15 https://gov.wales/statistics-and-research/local-authority-municipal-waste-management/?lang=en
	6-3 Encourage needs to be met locally		
	6-4 Promote the use of more sustainable resources		
	6-5 Improve the integration of different modes of transport	Proportion of total traffic d) Bicycles e) Buses and Coaches f) Cars	Department for Transport (DfT) traffic count data (by Local Authority) https://www.dft.gov.uk/traffic-counts/area.php?region=Wales&la=Carmarthenshire
	6-6 Promote the use of more sustainable modes of transport (e.g. cycling and walking)	Total Annual Bicycle Counts (Carmarthenshire Active Travel)	Active travel reports https://www.carmarthenshire.gov.wales/home/council-services/travel-roads-parking/active-travel/#.W5EArumQzIU
7 - Soil	7-1 To avoid and reduce contamination of soils and promote the regeneration of contaminated land	Total area of contaminated land	

	7-2 To avoid loss of soils to non-permeable surfaces and minimised soil erosion	Percentage of permitted developments that incorporate SUDS.	Carmarthenshire County Council planning data
	7-3 To reduce SO ₂ and NO _x emissions and nitrate pollution from agriculture		
8 – Cultural Heritage	8-1 To protect historic and cultural assets and local distinctiveness from negative effects of development/regeneration and support their enhancement	Number of developments permitted adversely impacting upon buildings and areas of built or historical interest and their setting	Carmarthenshire County Council planning data
	8-2 To promote high quality design reflecting local character and distinctiveness	Number of applications refused on design grounds	Carmarthenshire County Council planning data
9 - Landscape	9-1 To protect and enhance landscape/townscape from negative effects of land use change		
	9-2 To take sensitive locations into account when siting development and promote high quality design	Number of applications refused on design grounds	Carmarthenshire County Council planning data
	9-3 To encourage appropriate future use of derelict land	Number of development on previously developed land	Carmarthenshire County Council planning data

10 - Population	10-1 Ensure suitable, affordable housing stock with access to education and employment facilities	Number of affordable dwellings permitted	Carmarthenshire County Council planning data
	10-2 Promote the retention of younger people	% persons aged a) 15-29 b) 30 – 44 residing in Carmarthenshire	https://statswales.gov.wales/Catalogue/Population-and-Migration/Population/Distributions
	10-3 Promote inclusion of disadvantaged and minority groups in society	Percentage of people agreeing a) that they belong to the area; b) that people from different backgrounds get on well together c) that people treat each other with respect.	Future Generations National Indicator 27 National Survey for Wales https://gov.wales/statistics-and-research/national-survey/?tab=el_home&topic=nhs_social_care&lang=en
11 – The Welsh Language	11-1 Encourage growth of the Welsh language and culture	% of people who can speak Welsh (by Local Authority)	Future Generations National Indicator 37 National Survey for Wales https://gov.wales/statistics-and-research/national-survey/?lang=en
12 – Health and Well-Being	12-1 Create opportunities for people to live active, healthy lifestyles through planning activities	Percentage of adults reported as being a) overweight b) obese (by Health Board)	http://www.infobasecymru.net/IAS/profiles/profile?profileId=381&geoTypeId= https://gov.wales/statistics-and-research/national-survey/?tab=el_home&topic=population_health&lang=en
	12-2 Provide access to health and recreation facilities and services	Percentage of people satisfied with their ability to get to/access the facilities and services they need	Future Generations National Indicator 24 Wales National Survey
	12-3 Encourage walking or cycling as an alternative means of transportation	Percentage of people surveyed method of travel to work (a) On foot (b) By bicycle	Office of National Statistics - Travel to work methods and the time it takes to commute from home to work, Labour Force Survey

			https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/labourproductivity/adhocs/008005traveltoworkmethodsandthetimeittakestocommutefromhometoworklabourforcesurvey2007to2016
		Total Annual Bicycle Counts (Carmarthenshire Active Travel)	Active travel reports https://www.carmarthenshire.gov.wales/home/council-services/travel-roads-parking/active-travel/#.W5EArumQzIU
	12-4 Promote access to Wales' natural and cultural heritage	Amount of open space lost to development (ha)	Carmarthenshire County Council planning data
		Percentage of people attending or participating in arts, culture or heritage activities at least three times a year.	Future Generations National Indicator 35 https://statswales.gov.wales/Catalogue/National-Survey-for-Wales/Sport-and-Recreation/percentageofpeoplewhoattendorparticipateinartcultureheritageactivities3ormoretimesayear-by-localauthority-year
13 – Education and Skills	13-1 Provide accessible educational and training facilities which meet the future need of the area		
	13-2 Increase levels of literacy (in both Welsh and English) and numeracy	% of adults without basic numeracy and literacy skills	
	13-3 Promote lifelong learning	Level of highest qualification held by adults of working age in Wales (by Local Authority).	Future Generations National Indicator 8 https://gov.wales/docs/statistics/2018/180418-levels-highest-qualification-held-working-age-adults-2017-en.pdf

	14-1 To promote sustainable economic growth	Gross Value Added (GVA) per head	http://www.infobasecymru.net/IAS/profiles/profile?profileId=470&geoTypeId=
14 – Economy	14-2 To provide good quality employment opportunities for all sections of the population	Amount of employment land lost to non-employment uses	(South West Wales value) CCC planning data
		Percentage of population in part and full time or self-employment	https://www.carmarthenshire.gov.wales/home/council-democracy/research-statistics/electoral-ward-county-profiles/#.W5J2dOmQyUk
	14-3 To promote sustainable businesses in Wales	Number of active businesses in Carmarthenshire	http://www.infobasecymru.net/IAS/profiles/profile?profileId=456&geoTypeId=
		Number of active business closures in Carmarthenshire	http://www.infobasecymru.net/IAS/profiles/profile?profileId=456&geoTypeId=
	15-1 Improve safety and security for people and property	Average annual crime level	https://www.police.uk/dyfed-powys/110/crime/stats/
15 – Social Fabric		Probability of feeling safe (by local authority)	Future Generations Indicator 25 https://gov.wales/docs/caecd/research/2017/170301-national-survey-who-most-likely-feel-safe-local-area-en.pdf
	15-2 Promote the design of settlements that improve social fabric by removing barriers and creating opportunities for positive interactions	Probability of having a strong sense of community (by local authority area)	Future Generations indicator 27: https://gov.wales/docs/caecd/research/2017/170301-national-survey-who-most-likely-strong-sense-community-en.pdf

		Percentage of people agreeing that they belong to the area; that people from different backgrounds get on well together; and that people treat each other with respect.	Future Generations Indicator
	15-3 Promote the deliverability of affordable housing	Proportion of affordable housing as a percentage of new homes delivered	
	15-4 Improve accessibility to services, particularly for disadvantaged sections of society	Percentage of people satisfied with their ability to get to/ access the facilities and services they need	Future Generations National Indicator 24 https://gov.wales/statistics-and-research/national-survey/?lang=en

Appendix 3. Review of Relevant Plans, Programmes and Policies

International: Plan, Policy or Programme
Agenda 21: United nations Department of Economic and Social Affairs https://sustainabledevelopment.un.org/outcomedocuments/agenda21
Rio Declaration on Environment and Development UNEP 1992 http://www.unep.org/Documents.multilingual/Default.asp?DocumentID=78&ArticleID=1163&l=en
United Nations Framework Convention on Climate Change United Nations 1994 http://unfccc.int/2860.php
The Kyoto Protocol United Nations 1997 http://unfccc.int/kyoto_protocol/items/2830.php
Convention on Migratory Species UNEP 1979 http://www.cms.int/
Convention on Biological Diversity UNEP 1992 http://www.biodiv.org/default.shtml
The Ramsar Convention on Wetlands UNESCO 1971 http://www.ramsar.org/
<p>EU Directive 2009/147/EC (on the Conservation of Wild Birds - 'The Birds Directive') The Council of the European Communities 30 November 2009 (http://ec.europa.eu/environment/nature/legislation/birdsdirective/index_en.htm)</p> <p>The Bird's Directive is the EU's oldest piece of nature legislation and one of the most important, creating a comprehensive scheme of protection for all wild bird species naturally occurring in the EU. It was adopted as a response to increasing concern about the declines in Europe's wild bird populations resulting from pollution, loss of habitats as well as unsustainable use.</p> <p>The Directive recognises that habitat loss and degradation are the most serious threats to the conservation of wild birds. It therefore places great emphasis on the protection of habitats for endangered as well as migratory species, particularly through the establishment of a network of Special Protection Areas (SPAs) comprising all the most suitable territories for these species.</p>
<p>EU Directive 2000/60/EC (the Water Framework Directive - WFD) The Council of the European Communities 23 October 2000</p> <p>The overall aim of the Directive is to establish a framework for the protection and management of surface waters, including rivers, lakes, transitional and coastal waters and ground waters in the EU. The main objectives of the proposed Directive are to:</p> <ul style="list-style-type: none"> • prevent further deterioration and to protect and enhance the aquatic environment; • achieve good ecological and chemical water quality for all surface waters and ground waters unless it is impossible or prohibitively expensive; and • promote sustainable water management based on long-term protection of water

resources.
<p>EU Directive 92/43/CEE (the Habitats Directive) The Council of the European Communities 21 May 1992 http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm</p> <p>The Habitats Directive is one of the most significant pieces of legislation driving Europe's conservation policies adopted following the Berne Convention (1982). It aims to protect identified species and habitats of nature conservation importance at the European level, and led to the establishment of a network of Special Areas of Conservation. Together with the Special Protection Areas set up under the Conservation of Wild Birds Directive (1979), these sites make up the European network of protected sites known as Natura 2000 sites. The aim of the network is to assure the long-term survival of Europe's most valuable and threatened species and habitats.</p>
<p>Proposal for a new EU Environment Action Programme to 2020 European Commission 2012 http://ec.europa.eu/environment/newprg/index.htm</p>
<p>EU Directive 1999/31/EC (the Landfill Directive) The Council of the European Union 1999 http://ec.europa.eu/environment/waste/landfill_index.htm</p> <p>The Landfill Directive intends to help drive waste up the hierarchy through waste minimisation and increased levels of recycling and recovery. The Directive's overall aim is <i>"to prevent or reduce as far as possible negative effects on the environment, in particular the pollution of surface water, groundwater, soil and air, and on the global environment, including the greenhouse effect, as well as any resulting risk to human health, from the landfilling of waste, during the whole life-cycle of the landfill"</i>.</p> <p>The Directive has provisions covering location of landfills, and technical and engineering requirements for aspects such as water control and leachate management, protection of soil and water and methane emissions control. The Directive sets stringent targets on reducing the amount of biodegradable municipal waste that is sent to landfill:-</p> <ul style="list-style-type: none"> • By 2010 to reduce biodegradable municipal waste landfilled to 75% of that produced in 1995; • By 2013 to reduce biodegradable municipal waste landfilled to 50% of that produced in 1995; and • By 2020 to reduce biodegradable municipal waste landfilled to 35% of that produced in 1995.
<p>EU Directive 2008/98/EC (the Waste Framework Directive) The European Parliament and the Council of the European Union 19 November 2008 http://ec.europa.eu/environment/waste/framework/index.htm</p>
<p>EU Directive 91/676/EEC (the Nitrates Directive) The Council of the European Union 1991 http://ec.europa.eu/environment/water/water-nitrates/directiv.html</p> <p>The Nitrates Directive concerns the protection of waters against pollution caused by nitrates from agricultural sources with the intention of redirecting agriculture toward greater sustainability. The Directive aims to protect fresh, transitional/coastal and marine waters</p>

against pollution caused by nitrates. It requires Member States to identify waters, either actually or potentially affected by diffuse nitrate pollution. These include:

- surface waters, particularly those for the abstraction of drinking water, where nitrate concentrations exceed 50 mg/l nitrate;
- groundwaters actually or potentially containing more than 50 mg/l nitrate; and
- freshwater lakes, other freshwater bodies, estuaries, coastal waters and marine waters which are, or may in the future be, eutrophic.

Member States had to designate all areas draining into such waters as nitrate vulnerable zones by 19 December 1993 and establish Action Programmes to control the timing and date of application of manure and chemical fertilisers in these zones.

EU Directive (2008/50/EC) (the New Air Quality Framework Directive) The Council of the European Union 11 June 2008

http://ec.europa.eu/environment/air/quality/legislation/existing_leg.htm

UK: Plan, Policy or Programme

Conservation of Habitats and Species Regulations 2017

The Regulations implement Council Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora (EC Habitats Directive). The Regulations provide for the designation and protection of 'European sites (Special Areas of Conservation)', the protection of 'European protected species', and the adaptation of planning and other controls for the protection of European Sites.

A further objective is to preserve, maintain and re-establish sufficient diversity and area of habitat for wild birds in the United Kingdom and to avoid any pollution or deterioration of habitats of wild birds in exercising of all relevant functions.

There are a large number of sites of ecological / geological importance in the county and in this regard, Carmarthenshire has a number of sites considered to be of international importance for nature conservation. These Special Areas of Conservation (SACs) and Special Protection Areas (SPAs) are designated under European legislation.

Special Protection Areas (SPA)

- Burry Inlet (also a Ramsar site)
- Elenydd Mallaen
- Carmarthen Bay

Special Areas of Conservation (SAC)

- Afon Teifi
- Afon Tywi
- Carmarthen Bay and Estuaries
- Carmarthen Bay Dunes
- Cwm Doethie - Mynydd Mallaen
- Caeau Mynydd Mawr
- Cernydd Carmel

Candidate Special Areas of Conservation.

- Bristol Channel Approaches SAC

More information about them and why they were designated can be found on the Natural Resources Wales website.

<https://naturalresources.wales/guidance-and-advice/environmental-topics/wildlife-and-biodiversity/find-protected-areas-of-land-and-seas/designated-sites/?lang=en>

Securing the Future - UK Government sustainable development strategy – UK Government 2005

<http://www.defra.gov.uk/publications/2011/03/25/securing-the-future-pb10589/>

The UK Sustainable Development Strategy is based upon the following five guiding principles:-

1 - Living within environmental limits

Respecting the limits of the planet's environment, resources and biodiversity – to improve our environment and ensure that the natural resources needed for life are unimpaired and remain so for future generations.

2 - Ensuring a strong, healthy and just society

Meeting the diverse needs of all people in existing and future communities, promoting personal wellbeing, social cohesion and inclusion, and creating equal opportunities for all.

3 - Achieving a sustainable economy

Building a strong, stable and sustainable economy which provides prosperity and opportunities for all, and in which environmental and social costs fall on those who impose them (polluter pays), and efficient resource use is incentivised.

4 - Promoting good governance

Actively promoting effective, participative systems of governance in all levels of society – engaging people's creativity, energy and diversity.

5 - Using sound science responsibly

Ensuring policy is developed and implemented on the basis of strong scientific evidence, whilst taking into account scientific uncertainty (through the precautionary principle) as well as public attitudes and values.

The 2005 strategy builds on the 1999 strategy and looks more closely at the international aspects and social elements of achieving sustainable development. One of the underpinning themes of the document is the recognition of environmental limits. The four agreed key priorities for achieving sustainable development are:-

- Sustainable production and consumption;
- Climate change;
- Natural resource protection; and
- Sustainable communities.

The UK Government intends to look at ways to encourage behavioural change and improving resource efficiency and reducing waste. The strategy recognises that climate change and energy generation represent significant challenges to achieving sustainable development and that everyone should be entitled to environmental justice.

The UK Climate Change Programme DEFRA 2006

<http://jncc.defra.gov.uk/page-4000>

Defra's Climate Change Programme sets out the UK's policies and priorities for action on climate change in the UK and internationally and sets out the approach to strengthening the role that individuals can play in tackling climate change.

The Government is committed to reducing greenhouse gas emissions towards the long-term by 60 per cent by 2050 in the 2003 Energy White Paper.

Alongside high-level international and domestic commitments, the strategy sets out spending to support microgeneration technologies, developing carbon abatement technologies, supporting energy from renewables and combined heat and power (CHP), raising energy standards of new builds and refurbished buildings and delivering energy efficiency measures in low income households.

The Air Quality Strategy for England, Scotland, Wales and Northern Ireland (Volumes 1&2) DEFRA 2007

(<http://www.defra.gov.uk/environment/quality/air/air-quality/approach/>)

The Strategy:

- Sets out common aims and a way forward for work and planning on air quality issues for the UK government and devolved administrations;
- sets out the air quality standards and objectives to be achieved;
- introduces a new policy framework for tackling fine particles; and
- identifies potential new national policy measures which modelling indicates could give further health benefits and move closer towards meeting the Strategy's objectives.

The primary objective of the strategy is to ensure that all UK citizens should have access to outdoor air without significant risk to their health, where this is economically and technically feasible. According to the strategy, the UK is projected to miss objectives on three of the nine pollutants (particles, ozone and nitrogen dioxide). In particular, critical loads for acidity and/or the fertilising effects of nitrogen are projected to be exceeded in over half the UK's natural and semi-natural habitats.

Countryside and Rights of Way Act (CRoW) 2000

The CRoW Act provides for public access on foot to certain types of land, amends the law relating to public rights of way, increases protection for Sites of Special Scientific Interest (SSSI) and strengthens wildlife enforcement legislation, and provides for better management of Areas of Outstanding Natural Beauty (AONB).

There are 81 Sites of Special Scientific Interest (SSSI) in the county (excluding the area within the Brecon Beacons National Park) covering 17,088 Ha, and ranging in size from small fields to large areas of mountain sides and long rivers. They cover approximately 7.2 % of the county. SSSIs are the best wildlife and geological sites in the country. They include habitats such as ancient woodland, flower-rich meadows, wetlands as well as disused quarries and support plant and animal species which are not often seen in the wider countryside. SSSIs are statutorily protected under the Wildlife & Countryside Act 1981 (as amended by the Countryside & Rights of Way Act 2000). Natural Resources Wales has responsibility for identifying, notifying and protecting SSSIs.

Carmarthenshire has six Local Nature Reserves (LNRs). LNRs are designated by local authorities and are places which support a rich variety of wildlife or geological features and which are important to local people, by enabling contact with the natural environment. The LNRs in the county are managed with the conservation of wildlife as the top priority. They are Pembrey Burrows and Saltings, Ashpits Pond and Pwll Lagoon, North Dock Dunes, Morfa Berwick (all in the Llanelli coastal area), Carreg Cennen and Glan-yr-Afon, Kidwelly.

The Act also places a duty on all highway authorities to produce a Rights of Way Improvement Plan (ROWIP) for their area.

Wildlife and Countryside Act 1981 (as amended)

The Act covers protection of wildlife (birds, and some animals and plants), the countryside, the prevention of the spread of certain invasive species and the designation of protected areas including Sites of Special Scientific Interest (SSSIs) that are identified for their flora, fauna, geological or physiographical features.

The Town and Country Planning (Environmental Impact Assessment) Wales) Regulations 2017

This requires that certain types of project are subject to an assessment of their environmental impact before planning permission can be determined.

The Environment Act 1995

The Environment Act 1995 places a duty on the Council to periodically review and assess air quality within its area. The Air Quality Objectives are set out in the Air Quality Standards (Wales) Regulations 2010.

The Flood and Water Management Act 2010

This Act changes the way that coping with the increasing pressures posed by climate change, notably water management. Of particular reference is the potential proposal to commence Schedule 3 in Wales and bring forward the related Statutory Instruments in May 2018. The Council is a designated Lead Local Flood Authority (LLFA) under the Act.

The Environmental Protection Act 1990

In relation to contaminated land, the County has a rich and diverse industrial legacy, including a wide range of industries such as mining, tin plate manufacturing, gas works, tanneries etc. All of these processes have the potential to have caused contamination of the ground, ground waters or other sensitive receptors. A Contaminated Land Inspection Strategy is in the process of being reviewed and updated by the Council.

UK Post-2010 Biodiversity Framework

(<http://jncc.defra.gov.uk/page-6189>)

Marine & Coastal Access Act 2009 UK Government 2009

<http://gov.wales/topics/environmentcountryside/fisheries/marine/marine-planning/?lang=en>

The Marine and Coastal Access Act 2009 provides new powers to assist in achieving the vision set out in the UK High Level Marine Objectives. The new powers provided by this act include:

- Marine planning – A new system for marine planning that will cover all of the key marine activities; and
- Marine Licensing – In Wales Marine Licensing powers were delegated to Natural Resources Wales in 2011. These licensing powers replace the licensing regimes that were previously covered under: Food and Environment Act 1985, Coast Protection Act 1949 and Environmental Impact Assessment (extraction of minerals and dredging (Wales) Regulations 2007.
- Marine Conservation Mechanics – The Act provides the power to create Marine Conservation Zones (MCZs) to assist in the conservation of marine plants and animals or geological/geomorphological features.

The Water Framework Directive and Planning - Initial Advice to Planning Authorities in England and Wales EA; RTPI; WLGA; LGA February 2006

<http://www.environment-agency.gov.uk/research/planning/40195.aspx>

This guidance provides advice on the implementation of the Water Directive Framework in relation to development plan policy (and other matters). The WFD requires all inland and coastal waters to reach "good status" by 2015. It establishes a river basin district structure with ecological targets for surface waters and other environmental indicators.

Ancient Monuments & Archaeological Areas Act 1979, UK Parliament 1979

The means by which Scheduled Ancient Monuments (SAMs) are afforded legal protection. A key tool for protection of SAMs. The protection given by this falls short of protecting the settings and surroundings of monuments. In addition, the Act allows for certain damaging operations to continue under certain circumstances.

National: Plan, Policy or Programme

The Wales Act (2017)

This Act received Royal Assent on the 31st January 2017. It provides the National Assembly for Wales with the power to legislate on any subject other than those which are reserved to the UK Parliament. The Wales Act 2017 implements elements of the St David's Day agreement which required legislative changes. It is aimed at creating a clearer and stronger settlement in Wales which is durable and long-lasting. In particular, the Wales Act amends the Government of Wales Act 2006 by moving to a reserved powers model for Wales.

The 2017 Act also devolves further powers to the Assembly and the Welsh Ministers in areas where there was political consensus in support of further devolution. These include:

- Devolving greater responsibility to the Assembly to run its own affairs, including deciding its name;
- Devolving responsibility to the Assembly for ports policy, speed limits, bus registration, taxi regulation, local government elections, sewerage and energy consenting up to 350MW (see below for additional detail);
- Devolving responsibility to Welsh Ministers for marine licensing and conservation and energy consents in the Welsh offshore region; and extending responsibility for

- building regulations to include excepted energy buildings;
- Devolving power over Assembly elections;
- Devolving powers over the licensing of onshore oil and gas extraction;
- Aligning the devolution boundary for water and sewerage services along the border between England and Wales; and,
- Establishing in statute the President of Welsh Tribunals to oversee devolved tribunals and allowing cross-deployment of judicial office holders.

In relation to the 2017 Act and the devolution of powers, specific reference is made to matters relating to the Community Infrastructure Levy (CIL). Previously not a devolved matter, this will change as part of the 2017 Act, with CIL being devolved with powers anticipated to be transferred to the Welsh Government in April 2018. In this respect, a Transfer of Functions Order will however be necessary to allow Welsh Ministers to modify existing secondary legislation.

Well-being of Future Generations (Wales) Act 2015

<http://www.senedd.assembly.wales/mglIssueHistoryHome.aspx?lId=10103>

The key purposes of the Act are to:

- Set a framework within which specified Welsh public authorities will seek to ensure the needs of the present are met without compromising the ability of future generations to meet their own needs (the sustainable development principle);
- Put into place well-being goals which those authorities are to seek to achieve in order to improve wellbeing both now and in the future;
- Set out how those authorities are to show they are working towards the well-being goals;
- Put Public Services Boards and local well-being plans on a statutory basis and, in doing so, simplify current requirements as regards integrated community planning, and
- Establish a Future Generations Commissioner for Wales to be an advocate for future generations who will advise and support Welsh public authorities in carrying out their duties under the Bill.

The Act sets out 7 well-being goals for Wales:

- A prosperous Wales.
- A resilient Wales.
- A healthier Wales.
- A more equal Wales.
- A Wales of cohesive communities.
- A Wales of vibrant culture and thriving Welsh language.
- A globally responsible Wales.

The LDP must have regard for the goals of the Well-being of Future Generations Act.

Planning (Wales) Act 2015

<http://gov.wales/topics/planning/legislation/planning-wales-act-2015/?lang=en>

This Act aims to modernise and improve the planning system to facilitate the delivery of homes, jobs and infrastructure. It also seeks to:

- reinforce the role of the Welsh Government as the active stewards of the planning system in Wales;

- promote a cultural change in planning to help make it more positive and support appropriate development more effectively; and
- promote partnership working between Local Planning Authorities.

The below is also noted in terms of potential implications:

- Introduction of a National Development Framework (NDF) - this concentrates on land-use planning issues at a national level, identifying key locations for infrastructure development and setting the national framework for planning.
- Introduction of Sub-Regional Plans Strategic Development Plans (SDPs) – with specific reference made to the Cardiff, Swansea and the A55 corridor.
- Retention of Local Development Plans - however these will need to be reviewed to ensure that they are consistent with the National Development Framework (and SDPs where appropriate).
- Increased powers for the Welsh Ministers, whilst in some circumstances applicants will be able to apply directly to the Welsh Government.

The LDP will need to be reviewed and prepared in line with this Act as well other primary and secondary legislative documents.

The Town and Country Planning (Local Development Plan) (Wales) (Amendment) Regulations 2015

This legislation amends the 2005 Regulations in order to simplify the LDP procedures. The amendments are in response to the outcomes of the LDP process refinement exercise.

Those key amendments, that are of particular relevance to the LDP, include the following:

- Site allocation representations (also known as alternative site) stage – this created confusion and did not add value to the LDP process. The amended regulations abolish the need to consult on the alternative sites following the deposit consultation stage.
- The Regulations introduced a short-form revision process for use where it appears to the LPA that the issues involved are not of sufficient significance to warrant the full procedure.
- Allowance for the review of part or parts of the plan, prior to a revision taking place.
- The Regulations introduce a requirement that the LDP sub-title indicates the end of the period in relation to which the LDP has been prepared.
- Removes the requirement to publicise matters by adverts in the local paper.

Further amendments seek to assist with clarity and transparency in parts of the procedure. These include setting out how the candidate site process, review report process and the initial consultation report work.

Local Development Plan Manual – Edition 2 - August 2015

The Manual proposes a more integrated approach to incorporating the sustainability appraisal, explains changes relating to candidate and alternative site procedures, as well as the tests of soundness, and expands the advice on plan review and revision.

The Welsh Language (Wales) Measure 2011.

The measure gives the Welsh language official status in Wales. This means that Welsh should be treated no less favourably than the English language. It places a duty on some organisations to comply with one or more standards of conduct on their delivery of services through the Welsh language including areas such as policy making, operational activities and Welsh language promotion.

River Basin Districts Surface Water and Groundwater Classification (Water Framework Directive) (England and Wales) Direction 2009:

<http://gov.wales/legislation/subordinate/nonsi/epwales/2009/3739275/?lang=en>

The Classification Directions set out the principles and standards for classifying water bodies for the Water Framework Directive (WFD). They apply to Wales and England and were developed by the UK Technical Advisory Group (UKTAG) to support the implementation of the WFD.

Welsh Government - People, Places, Futures – The Wales Spatial Plan (WSP) (2008 Update):

The Wales Spatial Plan (WSP) provides an overarching policy context for spatial planning and development in Wales by establishing cross-cutting national priorities. Carmarthenshire is situated within three of the six sub areas identified in the WSP.

Welsh Government - One Wales: One Planet, The Sustainable Development Scheme of the Welsh Assembly Government (WAG) 2009

It is stated that sustainable development is a core principle within the founding statute of the Welsh Assembly Government. and that there is a duty, under the Government of Wales Act 2006 (Section 79), that requires Welsh Ministers to make a scheme setting out how they propose, in the exercise of their functions, to promote sustainable development.

Housing (Wales) Act 2014

This is Wales' first ever housing Act. It aims to improve the supply, quality and standards of housing in Wales. The Welsh Government's priorities are stated as: more homes, better quality homes and better housing-related services.

Planning Policy Wales (Edition 9)

Planning Policy Wales (PPW) is the national land-use planning policy document for Wales. It is used by Local Planning Authorities (LPAs) to inform policies and land-use allocations in Local Development Plans (LDPs) and it is a material consideration for decision makers in determining individual planning applications. PPW sets out the land use policies of the Welsh Government and provides the context for land use planning in Wales.

Draft Planning Policy Wales: Edition 10

Planning Policy Wales (PPW) is the national land-use planning policy document for Wales. It is used by Local Planning Authorities (LPAs) to inform policies and land-use allocations in Local Development Plans (LDPs) and it is a material consideration for decision makers in determining individual planning applications. PPW sets out the land use policies of the Welsh Government and provides the context for land use planning in Wales.

The draft is published for consultation and takes into account the Well-being of Future Generations (Wales) Act 2015. The draft PPW has been restructured into policy themes

which reflect the well-being goals and policy updated where necessary to reflect Welsh Government strategies and policies.

Historic Environment (Wales) Act 2016

The Act has three main aims which are to:

- give more effective protection to listed buildings and scheduled monuments;
- improve the sustainable management of the historic environment; and
- introduce greater transparency and accountability into decisions taken on the historic environment.

The Act amends the two pieces of UK legislation — the Ancient Monuments and Archaeological Areas Act 1979 and the Planning (Listed Buildings and Conservation Areas) Act 1990.

Towards Zero Waste – One Wales One Planet: The Overarching Waste Strategy for Wales (2010)

This Strategy sets out a long term framework for resource efficiency and waste management up to 2050. It identifies the outcomes to achieve, sets high level targets and lays out the general approach to delivering these targets and other key actions. The Strategy identifies high level outcomes, policies and targets, and forms part of a suite of documents that comprise the national waste management plan for Wales.

PPW Technical Advice Note 1: Joint Housing Land Availability Studies (2006):

TAN 1 provides guidance for the undertaking of Joint Housing Land Availability Studies. These studies seek to monitor the provision of market and affordable housing, provide an agreed statement of residential land availability and also set out the need for action in situations where an insufficient supply is identified.

PPW Technical Advice Note 2 Planning and Affordable Housing (2006) :

This TAN provides guidance on the use of the planning system in delivering affordable housing. The guidance defines affordable housing for planning purposes and provides advice to local planning authorities on how to determine affordability. The need to work collaboratively is stressed, including the requirement for housing and planning authorities to undertake local housing market assessments in participation with key stakeholders.

PPW Technical Advice Note 3 Simplified Planning Zones (1996) :

This TAN sets out the procedures that should be followed when designating Simplified Planning Zones. A Simplified Planning Zone is one way in which an authority can help secure development or redevelopment of part of its area, providing certainty and allowing the developer or landowner to avoid delays in the planning applications process. The TAN provides advice on the selection of areas, extent of permission, exclusions and conditions and limitations during the process of designation.

PPW Technical Advice Note 4 Retail and Commercial Development (2016)

The TAN provides guidance on the role of land use planning in retail and commercial development, including:

- retail strategies, masterplanning and Place Plans;
- the tests of retail need and Sequential approach to development;
- retail impact assessments;
- primary and secondary retail and commercial frontages in centres;
- retail planning conditions;
- Local Development Orders; and
- indicators of vitality and viability in retail and commercial areas.

PPW Technical Advice Note 5: Nature Conservation and Planning Welsh Government (2009):

TAN 5 provides advice about how the land use planning system should contribute to protecting and enhancing biodiversity and geological conservation. It provides an overview of all relevant legislation within the field and *“demonstrates how local planning authorities, developers and key stakeholders in conservation can work together to deliver more sustainable development that does not result in losses from the natural heritage but instead takes every opportunity to enhance it”*.

PPW Technical Advice Note 6: Planning for Sustainable Rural Communities (2010):

This TAN provides guidance on how the planning system can support sustainable rural communities. It provides advice on areas including sustainable rural communities and economies, rural affordable housing, rural enterprise dwellings, one planet developments, sustainable rural services and sustainable agriculture.

PPW Technical Advice Note 7 Outdoor Advertisements Control (1996) :

This TAN describes how outdoor advertisements may be controlled to protect amenity and public safety. It provides advice on the advertisement applications process including on the criteria for dealing with such applications, advertisement control, the use of advertisements in areas of heritage interest such as conservation areas, National Assembly of Wales direction making powers and appeals for advertisements.

PPW Technical Advice Note 8: Renewable Energy (2005):

TAN 8 outlines the land use planning considerations relating to renewable energy. It provides detail on how the planning system can achieve Government targets relating to renewable energy. The TAN also promotes energy efficiency and conservation. Since the publication of TAN 8 there have been some policy and legislative changes. [Annex A of the Chief Planning Officers \(CPOs\) letter 'Publication of Planning Policy Wales Edition 4, February 2011'](#) sets out these changes. It should be read alongside TAN 8.

PPW Technical Advice Note 10 Tree Preservation Orders (1997):

This TAN provides guidance on where local planning authorities are to make adequate provision for the preservation and planting of trees when granting planning permission through the process of making tree Preservation Orders (TPOs). It provides advice on the process of making TPOs and the consideration of protecting trees, particularly during the development process.

PPW Technical Advice Note 11 Noise (1997) :

This TAN provides guidance on how the planning system can be used to minimise the adverse impact of noise without placing unreasonable restrictions on development. It provides advice on the consideration of noise during the development plan and control (management) processes as well as noise exposure categories for different types of activity which should be taken into account during the consideration of proposals for residential development.

PPW Technical Advice Note 12 Design (2016) :

The purpose of this TAN is to equip all those involved in the design of development with advice on how 'Promoting sustainability through good design' and 'Planning for sustainable buildings' may be facilitated through the planning system. Good design requires a collaborative, creative, inclusive, process of problem solving and innovation - embracing sustainability, architecture, place making, public realm, landscape, and infrastructure. The TAN emphasises that a holistic approach to design requires everyone involved in the design process to focus from the outset on meeting a series of objectives of good design:

- Ensuring ease of access for all
- Promoting sustainable means of travel
- Ensuring attractive, safe public spaces
- Achieving environmental sustainability
- Sustaining or enhancing local character

PPW Technical Advice Note 13: Tourism, Welsh Government (1997) :

This TAN provides guidance on tourism related issues in planning including matters relating to hotel development, holiday and touring caravans and seasonal and holiday occupancy conditions.

PPW Technical Advice Note 14 Coastal Planning (1998) :

This TAN provides guidance on key issues relating to planning for the coastal zone. It identifies and describes the role of local planning authorities and the range of sectoral and regulatory controls over marine and coastal development. The TAN details a number of issues which must be taken into account because of their potential effects on physical processes and ground conditions, as well as the overall balance, sensitivity and conservation of the area. The TAN provides guidance around the planning considerations and issues to be included in development plans and in the determination of planning applications.

PPW Technical Advice Note 15: Development and Flood Risk, Welsh Government (2004) :

This TAN provides guidance which supplements the policy set out in Planning Policy Wales in relation to development and flooding. It provides advice on matters including the use of development advice maps to determine flood risk issues, how to assess the flooding consequences of proposed development and action that can be taken through development plans and development control (management) procedures to mitigate flood risk when planning for new development. The Development Advice Map (DAM) which supplements TAN 15 is published by Natural Resources Wales.

PPW Technical Advice Note 16: Sport, Recreation and Open Space (2009) :

This TAN provides guidance regarding planning for sports, recreation and open space provision as part of new development proposals. It provides advice relating to this area including on the preparation of Open Space Assessments, the keeping of existing facilities, the provision of new facilities and the planning for allotments and spaces for children's and young people's play. The TAN discusses development management issues regarding the design of facilities and spaces, and noise and accessibility. It also considers how planning agreements can help to ensure the provision and maintenance of facilities.

PPW Technical Advice Note 18: Transport (2007) :

This TAN describes how to integrate land use and transport planning. It explains how transport impacts should be assessed and mitigated. It includes advice on transport related issues when planning for new development including integration between land use planning and transport, location of development, parking and design of development.

Also, on walking and cycling, public transport, planning for transport infrastructure, assessing impacts and managing implementation.

PPW Technical Advice Note 19 Telecommunications (2002) :

This TAN outlines the planning procedures that should be followed when assessing telecommunications proposals. In so doing it takes account of the growth of the telecommunications industry and technology.

The TAN provides guidance on different forms of public communications systems and their developmental requirements and the implications for development plans and the determination of planning applications.

PPW Technical Advice Note 20: Planning and the Welsh Language (2017):

This TAN provides guidance on the consideration of the Welsh language as part of the Development Plan making process. The TAN provides advice on incorporating the Welsh language in development plans through Sustainability Appraisals, procedures for windfall development in areas where the language is particularly significant, and signs and advertisements.

PPW Technical Advice Note 21: Waste (2014):

This TAN requires monitoring to identify whether:

- sufficient landfill capacity is being maintained;
- sufficient treatment capacity is being maintained, whether the spatial pattern of provision is appropriate to fill identified needs, and
- whether any further action is needed by local planning authorities to address unforeseen issues.

Reference should be made to the annual Waste Planning Monitoring Reports (WPMRs) for the SW Wales region.

PPW Technical Advice Note 22: Sustainable Buildings, Welsh Government (2011)

The TAN provides the national planning policy on sustainable buildings as well as guidance on the standards of sustainable building assessment, design solutions to meet these standards and additional guidance on low carbon buildings. The TAN also provides guidance development of policies and strategic sites.

PPW Technical Advice Note 23: Economic Development

The TAN emphasises that LDPs will need to be informed by robust evidence and advises that a range of stakeholders should be engaged for their insights into the local economy. It recognises that economic issues are generally larger than local authority level, and that evidence is most appropriately collected at both regional and local scale. This will require collaboration with other planning authorities within an agreed regional grouping.

PPW Technical Advice Note 24: The Historic Environment (2017):

The TAN provides guidance on how the planning system considers the historic environment during development plan preparation and decision making on planning and listed building applications. It provides guidance on how the following aspects of the historic environment should be considered:

- World Heritage Sites;
- Scheduled monuments;
- Archaeological remains;
- Listed buildings;
- Conservation areas;
- Historic parks and gardens;
- Historic landscapes; and
- Historic assets of special local interest.

PPW Minerals Technical Advice Note (MTAN) 2: Coal (2009):

This sets out detailed advice on the mechanisms for delivering the policy for coal extraction through surface and underground working and also provides advice on best practice. It sets out how impacts should be assessed and what mitigation measures should be adopted, and seeks to identify the environmental and social costs of operations so that they are properly met by the operator.

PPW Minerals Technical Advice Note (MTAN) 1: Aggregates (2004):

It is stated that the overarching objective in planning for aggregates provision is: to ensure supply is managed in a sustainable way so that the best balance between environmental, economic and social considerations is struck, while making sure that the environmental and amenity impacts of any necessary extraction are kept to a level that avoids causing demonstrable harm to interests of acknowledged importance. The MTAN is structured to reflect the following five key principles:

- To provide aggregate resources in a sustainable way to meet society's needs for construction materials;
- To protect areas of importance;
- To reduce the impact of aggregates production;
- To achieve a high standard of restoration and aftercare, and provide for a beneficial after-use; and

- To encourage the efficient use of minerals and maximizing the potential use of alternative materials as aggregates.

Environment (Wales) Act 2016:

The Environment (Wales) Act received Royal Assent on 21 March 2016. It delivers against the Welsh Government's commitment to introduce new legislation for the environment. A key component of the Act is the duty it places on public authorities to 'seek to maintain and enhance biodiversity'. In doing so, the Act requires public authorities to forward plan and report on how they intend to comply with the biodiversity and resilience of ecosystems duty. The Act replaces the duty in section 40 of the Natural Environment and Rural Communities Act (NERC) Act 2006 in relation to Wales, with a duty on public authorities to seek to maintain and enhance biodiversity.

Welsh Government Strategy for Tourism 2013 – 2020, 'Partnership for Growth:

This identifies Destination Management as fundamental in helping to improve the visitor appeal of tourism destinations throughout Wales.

Visit Wales - Developing the Visitor Economy: A Charter for Wales 2009:

This provides clear terms of reference for Destination Management arrangements in Wales and identifies a key role for local authorities in contributing to the preparation of local destination plans and the establishment of local destination partnerships.

Active Travel (Wales) Act 2013:

The Act requires local authorities in Wales to produce active travel maps and deliver year on year improvements in active travel routes and facilities. It requires highways authorities in Wales to make enhancements to routes and facilities for pedestrians and cyclists in all new road schemes and to have regard to the needs of walkers and cyclists in a range of other highway authority functions.

As part of its commitment to make it easier to walk and cycle, the Council has prepared maps that identify current walking and cycling routes. These maps were created following public consultation as well as its own research in 2015. The routes identified on the maps meet current Welsh Government standards for walking and cycling routes in Wales.

Guidance for Outdoor Sport and Play: Beyond the Six Acre Standard:

This provides guidance on the planning and design of outdoor sport, play and informal space.

Regional: Plan, Policy or Programme**The Swansea Bay City Region Economic Regeneration Strategy 2013 – 2030:**

The Strategy sets out the strategic framework for the region aimed at supporting the area's development over the coming decades. The Vision is that by 2030, South West Wales will be *"a confident, ambitious and connected city region, recognised internationally for its emerging knowledge and innovation economy"*. The Strategy contains 5 Strategic aims.

Swansea Bay City Deal 2017

The £1.3 billion Swansea Bay City Deal was signed in March 2017. It is claimed that the Deal will transform the economic landscape of the area, boost the local economy by £1.8 billion, and generate almost 10,000 new jobs over the next 15 years. There is reference to 11 major projects overall, with the following specific projects proposed for Carmarthenshire:

- Wellness and Life Science Village in Llanelli; and
- Creative industry project at Yr Egin in Carmarthen.

4 key themes of Economic Acceleration, Life Science and Well-being, Energy, and Smart Manufacturing. An enhanced Digital Infrastructure & next generation wireless networks and the development of workforce skills and talent will underpin each.

Joint Local Transport Plan for South West Wales (2015-20):

This sets out the vision, objectives and a long term strategy for a 20 year period and a five year programme of projects. The Plan encompasses the region which fall within the administrative areas of Carmarthenshire County Council, Neath Port Talbot County Borough Council, Pembrokeshire County Council and the City and County of Swansea.

The South West Wales Tourism Partnership (SWWTP)

The SWWTP had responsibility for delivering the national tourism strategy at the regional level. Whilst wound up in 2014, Visit Wales continues to maintain its ongoing commitment to Destination Management through Regional Engagement Teams.

Waste Planning Monitoring Report(s) for the South West Wales Region:

These reports are produced in accordance with TAN21: Waste and set out to collate and assess available data on all waste arising's, landfill void and the management of residual waste in the region in order to monitor trends and ultimately monitor performance against the targets set out in Towards Zero Waste. It also assesses the progress of waste policy coverage in LDPs, as well as providing information on current local authority waste management / resource recovery schemes and future procurement.

Dwr Cymru Welsh Water Water Resources Management Plan (2014)

<http://www.dwrcymru.co.uk/en/My-Water/Water-Resources/Water-Resource-Management-Plan.aspx>

The Plan covers a 25 year period, from 2015 to 2040 (also termed the 'planning period') and considers what needs to be done to ensure a sustainable and affordable balance between the amount of water we take from the environment and the amount of water we need for our daily lives.

It is vitally important for a water company to understand its capability to supply water and the demand for water from customers and business within its supply area. The comparison is termed the Supply Demand Balance (SDB).

In relation to Carmarthenshire, it should be noted that the Tywi Gower zone is shown to be in surplus. However Pembrokeshire and Brecon Portis zones are shown to be in deficit.

River Basin Management Plan Western Wales River Basin District (2015-2021), Natural Resources Wales 2015

The River Basin Management Plan for the Western Wales River Basin District is prepared under the Water Framework Directive. It describes the current condition of the river basin district and what has been achieved since 2009; details the Programme of Measures for improving the water environment by 2021, provides the water body objectives and look forward to the planned review in 2021.

Lavernock Point to St Ann's Head Shoreline Management Plan 2 (2012)

A Shoreline Management Plan (SMP) provides a large-scale assessment of the risks associated with coastal erosion and flooding at the coast. It also presents policies to help manage these risks to people and to the developed, historic and natural environment in a sustainable manner.

This document is the second generation Shoreline Management Plan (SMP2) for the shoreline between Lavernock Point (Vale of Glamorgan) in the east and St Ann's Head (Pembrokeshire) in the west, including the counties of Vale of Glamorgan, Bridgend, Neath Port Talbot, Swansea, Carmarthenshire and Pembrokeshire.

The study area includes the Neath Estuary, the Tawe Estuary, the Loughor Estuary (Burry Inlet), the Three Rivers Estuarine Complex (Gwendraeth, Towy and Taf) and Milford Haven, as well as a number of smaller estuaries.

Appendix 4. Strategic Policy 16: Settlement Hierarchy

The provision of growth and development will be directed to sustainable locations in accordance with the following spatial framework.

	Cluster 1	Cluster 2	Cluster 3	Cluster 4	Cluster 5	Cluster 6
Tier 1 – Principal Centre	Carmarthen	Llanelli	Ammanford/Crosshands			
Tier 2 Service Centre	Pontyates/ Meinciau/ Ponthenri	Burry Port	Brynamman	Newcastle Emlyn	Llandovery	St Clears / Pwll Trap
		Pembrey	Glanamman/Garnant	Llanybydder	Llandeilo	Whitland
		Fforest/Hendy	Pontyberem/Bancffosfelen	Pencader	Llangadog	Laugharne
		Llangennech				
		Trimsaran/Carway				
		Kidwelly				
		Ferryside				
Tier 3 – Sustainable Villages	Cynwyl Elfed	Mynyddygarreg	Carmel	Drefach/ Felindre	Caio	Llanboidy
	Llanybri	Five Roads/Horeb	Cwmgwili	Waungilwen	Ffarmers	Glandy Cross
	Llansteffan	Llansaint / Broadway	Foelgastell	Llangeler	Llansawel	Efailwen
	Bronwydd		Maesybont	Pentrecwrt	Rhydcymerau	Llangynin
	Cwmffrwd		Ystradowen	Saron/Rhos	Talley	Meidrim
	Llangyndeyrn	Llannon		Llanllwni	Cwrt Henri	Bancyfelin
	Brechfa	Llanedi		Cwmann	Llanfynydd	Llangynog
	Llangain			Capel Iwan	Llanwrda	Pendine

	Idole and Pentrepoeth			Llanfihangel ar Arth	Cwmdu	Llanddowror
	Peniel			Trelech	Cwmifor	Llanmiloe
	Alltwalis			Pontyweli	Salem	
	Llanpumsaint			Cenarth	Abergorlech	
	Llandyfaelog					
	Rhydargaeau					
	Llanfihangel-ar-arth					
	New Inn					
	Llanarthne					
	Capel Dewi					
	Nantgaredig					
	Pontargothi					
	Llanddarog					
	Porthyrhyd					
	Crwbin					
	Cwmduad					
Tier 4 - Rural Villages (No Development Limits)				Penboyr	Ffaldybrenin	Cwmfelin Mynach
	Hermon	Cynheidre	Capel Seion	Drefelin	Crugybar	Cwmbach
	Abernant	Four Roads	Derwydd	Cwmpengraig	Cwm-du	Blaenwaun
	Blaenycod		Heol Ddu	Cwmhiraeth	Ashfield Row	Llanglydwen
	Bancycapel		Maesybont	Pentrecagal	Felindre (Llangadog)	Cwmfelin Boeth
	Nantycaws		Milo	Pontarsais	Cynghordy	Cross Inn
	Croesyceiliog		Pantllyn	Gwyddgrug	Golden Grove	Llansadurnen

	Felingwm Uchaf		Pentregwenlais	Dolgran	Broad Oak	Broadway
	Felingwm Isaf		Temple Bar	Bancyfford	Trapp	Red Roses
	Llanegwad		Cefnbrynbrain	Bryn Iwan	Manordeilo	Llanfallteg
	Pontantwn		Rhosamman	Pencarreg	Penybanc	
	Nebo		Drefach (Llandyfan)		Felindre, (Dryslwyn)	
	Talog		Stag and Pheasant		Dryslwyn	
	Cross Inn		Mynyddcerrig		Rhydcymerau	
	Penybont				Waunystad Meurig	
	Whitemill				Bethlehem	
	Pont-Newydd				Capel Isaac	
					Llangathen	
					Llansadwrn	
					Rhandirmwyn	
					Porthyrhyd	
					Pumsaint	
					Siloh	

Population and Household Forecasts

Briefing Paper

1. Introduction

1.1 As part of the evidence base for the revised Local Development Plan 2018 - 2033, Edge Analytics have been commissioned to develop a range of demographic forecasts for the Authority. These demographic forecasts are considered from a range of evidence and demographic factors to provide an outlook on population, housing and economic growth within Carmarthenshire for the 2018-2033 period. The results of the population and household forecasts allows a set of varying options to be considered and inform the future strategic growth strategy within the LDP.

1.2 This report will outline at the following:

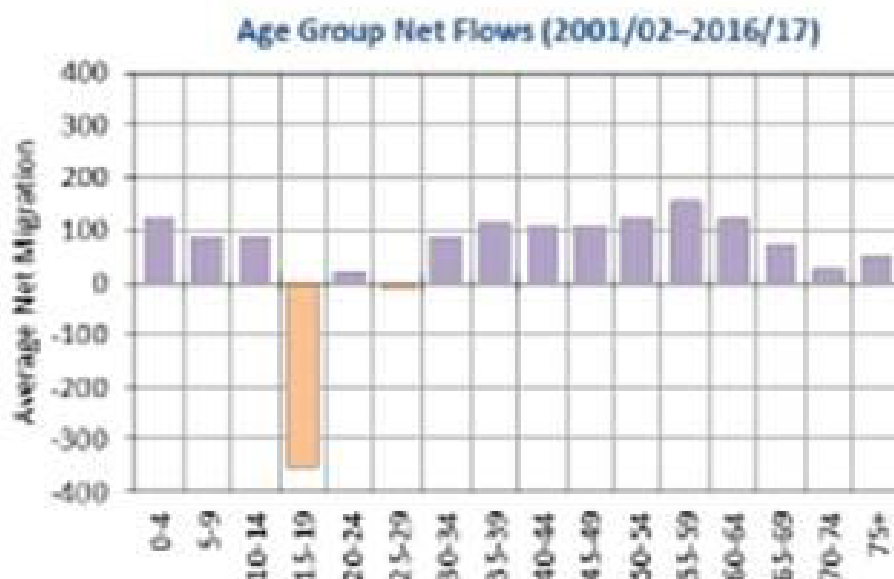
- Carmarthenshire's profile and historic demographic evidence;
- A summary of the various household scenarios and the options to be considered; and
- Consideration of the County's economic strategies to support growth options.

2. Carmarthenshire's Profile

2.1 Carmarthenshire is home to approximately 6% of Wales' total population with 186,452 people. Since 2001, the population has grown by 12,800 people within the county, a 7.4% increase in 16 years. Higher annual population growth was recorded pre-2008, with notably lower annual growth recorded thereafter. Carmarthenshire's growth is consistent with the national rate of growth, but remains lower than the neighbouring authorities of Swansea and Pembrokeshire.

2.2 A net inflow of internal migration has been the dominant driver of population change since 2001/2002, whilst international migration has had a smaller but positive impact on population. Conversely natural change has had a negative impact on population change, with the number of deaths exceeding births in all years.

2.3 The age profile of migration patterns within Carmarthenshire has seen a large net outflow at ages 15-19 and this is associated with the student migration out of Carmarthenshire for higher education opportunities, while there is a small return flow in the 20-24 age group. The net inflow of the 30-44 young family age group is mirrored by the growth in the 0-14 year age as people move into Carmarthenshire to either have children or move with their families. A net inflow is recorded in the older age cohort (65+) which contributes to Carmarthenshire's ageing population. This is set out within the figure below.



2.4 The WG 2006 and 2008-based projections were formulated during a time of high net migration (internal and international) which considered significant growth for Carmarthenshire. The 2011 and 2014-based projections were considered at a time post-recession and less immigration which resulted in a much lower anticipated household growth requirement for Carmarthenshire.

2.5 For the 2018-2033 plan period, the WG 2014-based household projection estimates a decline in average household size for Carmarthenshire from 2.26 to 2.20, resulting in less household growth than considered in the early projections of 2006 and 2008.

3. Demographic Scenarios

3.1 There is no single definitive view on the likely growth expected in Carmarthenshire. Ultimately, a mix of demographic, economic and local policy issues will determine the speed and scale of change.

3.2 In addition to the WG-based principle scenario, Edge Analytics have provided four additional demographic scenarios to be considered:

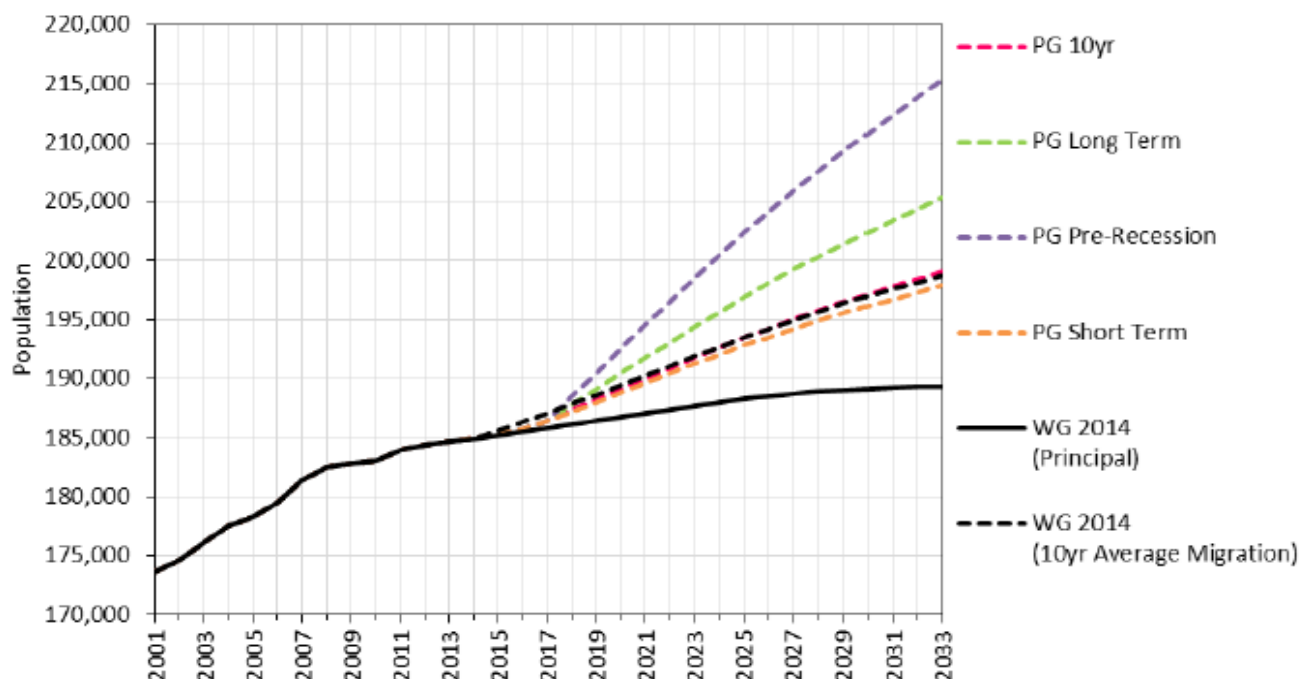
- **WG 2014-based:** this replicates the WG 2014-based population projection.

- **WG 2014-based (10yr Average Migration):** replicates the WG 2014-based 10yr average migration variant population projection. Migration assumptions are based on the ten year period prior to 2014 (i.e. 2004/05–2013/14)
- **PG Short Term:** Internal migration rates and international migration flow assumptions are based on a six-year historical period (2011/12–2016/17). This is a similar time period to the WG projection (i.e. 5–6 years), but includes the latest three years of data.
- **PG 10 year:** utilises the migration trend of the previous 10 years, which takes into account the first couple of years of the pre-recession period, but with the majority of the migration data being from the post-recession era.
- **PG Long Term:** Internal migration rates and international migration flow assumptions are based on the full sixteen-year historical period (2001/02–2016/17).
- **PG Pre-Recession:** Internal migration rates and international migration flow assumptions are based on the period pre-2008 recession (2001/02–2007/08), in which higher in-migration flows to Carmarthenshire were recorded.

3.3 The demographic trend scenarios incorporate mid-year population, migration, births and deaths statistics for 2001–2017 (i.e. three additional years of historical data to the WG projection). Household and dwelling growth under the demographic scenarios has been estimated using assumptions from the WG 2014-based household projection model in conjunction with a 2011 Census vacancy rate of 6.3%.

3.4 In utilising the demographic scenarios above, Edge Analytics have considered the demographic data in conjunction with a variant vacancy rate of 3.4%, which is borne from Empty Property records from the Local Housing Authority. This lowers (albeit not fundamentally) the housing requirement within each scenario.

Carmarthenshire Population Change 2001-2033



Carmarthenshire IA Demographic Scenario Outcomes 2001-2033

Scenario	Change 2018-2033				Average per year			Total Dwelling Growth (Census VR)	Total Dwelling Growth (ALT. VR)
	Population Change	Population Change %	Household Change	Household Change %	Net Migration	Dwellings (Census VR)	Dwellings (ALT. VR)		
PG Pre-Recession	26,811	14.2%	13,616	16.6%	2,028	969	939	14,529	14,090
PG Long Term	17,567	9.4%	9,555	11.7%	1,423	680	659	10,195	9,887
PG 10 year	11,755	6.3%	6,992	8.6%	1,043	497	482	7,461	7,236
PG Short Term	10,691	5.7%	6,807	8.4%	997	484	470	7,263	7,044
(WG 2014 (10yr Average Migration)	10,842	5.8%	6,322	7.7%	921	450	436	6,746	6,542
WG 2014 based	3,207	1.7%	3,254	4.0%	546	231	224	3,472	3,367

3.5 The **WG 2014-based** scenario bases its migration assumptions on the five-year 2009/10–2013/14 period, which recorded notably lower net in-migration to Carmarthenshire. As deaths exceed births within the historic yearly data, the household change under the 2014-based projections is low at **231** dwellings per year. This equates to **3,372** dwellings over the

revised LDP period. Utilising the lower vacancy rate, this would result in 224 dwellings per year, or 3,367 dwellings over the revised LDP period.

3.6 Of all the alternative demographic trend based scenarios, the **PG Short Term** results in the lowest population change (5.7%) over the plan period, capturing the lower net migration flows evident in 2011/12–2013/14. The estimated population growth would support approximately **484** dwellings per annum, or a total of **7,263** dwellings over the plan period. Utilising the lower vacancy rate would result in 470 dwellings per year, or 7,044 dwellings over the revised LDP period.

3.7. The **WG 2014-based (10 year average migration)** projection utilises the WG 2014-based natural change assumptions but also considers the 10 year migration period between 2003/2004 and 2012/13. This trend uses a migration period prior to, and post-recession, which would see a population and household change of 5.8% and 7.7% respectively during the plan period of 2018-2033. The housing requirement within this scenario (2011 Census vacancy rate) would equate to 450 dwellings per year, which would be less than that currently being built within Carmarthenshire on an average yearly basis. This equates to 6,746 dwellings over the LDP period 2018-2033. In considering this projection against the variant vacancy rate of 3.4%, the dwelling requirement within this scenario reduces to 436 dwellings per year. This equates to 6,542 dwellings over the LDP period 2018-2033.

3.8 **The PG 10 year** projections utilises the migration trend of the previous 10 years, which takes into account the first couple of years of the pre-recession period, but with the majority of the migration data since 2008. This trend offers a slightly more positive outlook than that considered in the 10yr migration data from the WG 2014 based projection, and similar to the PG Short term Scenario.

3.9 By utilising the 2011 Census vacancy, this scenario would, require 497 dwellings per annum within the revised LDP period 2018-2033, with the variant vacancy rate highlighting a provision of 482 dwellings per year. This equates to 7,461 dwellings and 7,236 dwellings over the revised LDP period respectively. Both variant scenario would show a requirement that is similar to the 10 year average build rates 2007-2017, but less than the average build rates from 2015 onwards.

3.10 Under the **PG Long Term** scenario, higher net migration flows are estimated (averaging +1,423 people per year), resulting in population change (9.4%) and subsequent dwelling growth

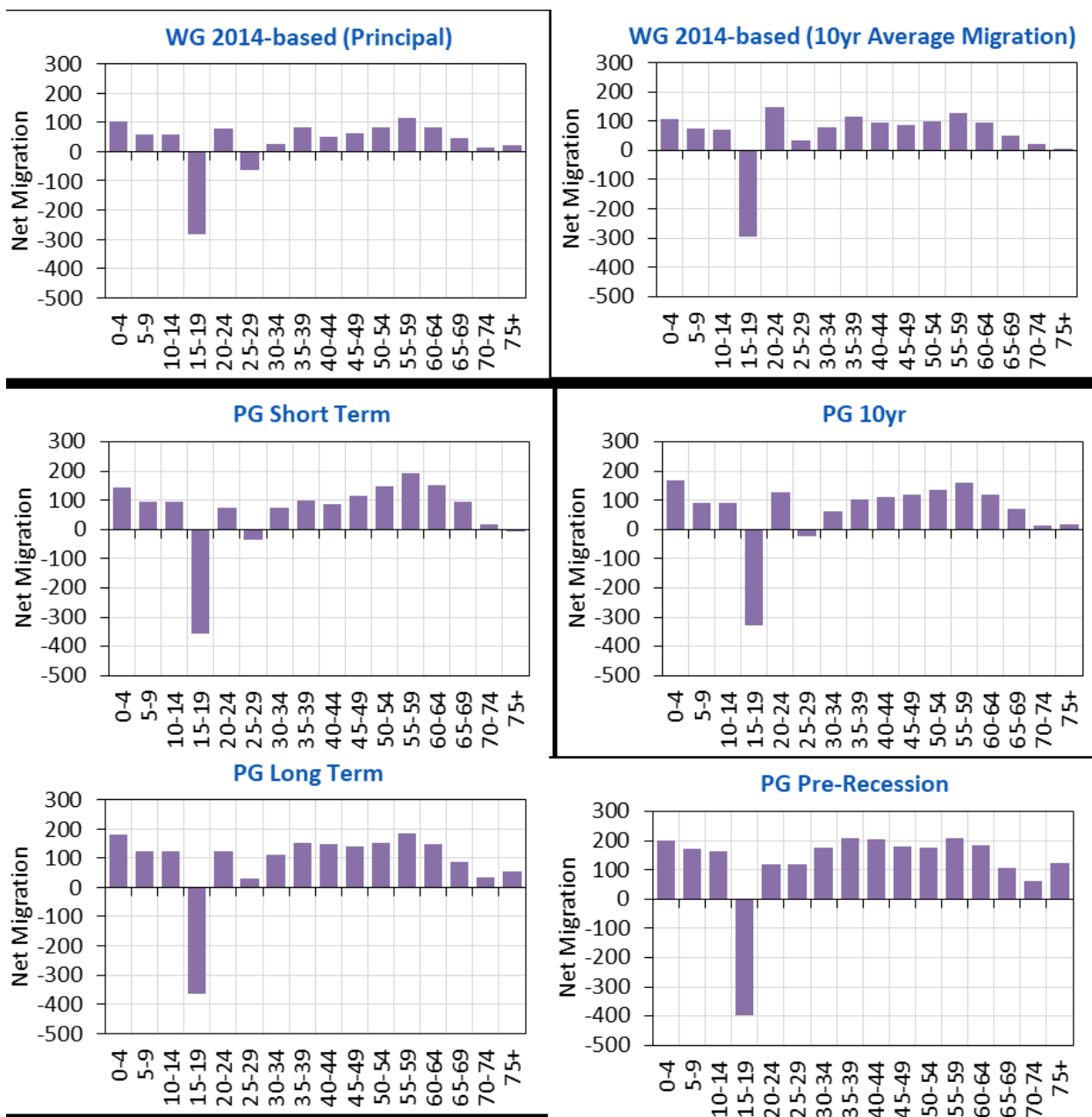
of 680 dwellings per year (2011 Census vacancy rate) or 659 dwellings per year (variant vacancy rate). This equates to 10,195 dwellings and 9,887 dwellings over the revised LDP period respectively. Both scenarios are higher than estimated under the PG Short Term and WG 2014-based scenarios.

3.11 The **PG Pre-Recession** scenario draws its migration assumptions from the 2001/02–2007/08 period, capturing the period of high net migration to Carmarthenshire. Consequently, future estimation of net migration is highest under the **PG Pre-Recession** scenario (averaging +2,028 per year), resulting in population change of 14.2% and an average annual dwelling growth of **969** per year over the 2018–2033 plan period.

Future Age structure under the Demographic Scenarios

3.12 In all demographic scenarios, the number of 15-19 years leaving the county continues to be high, whilst the number of migrants to Carmarthenshire over 65+ is higher than that in the 2014 based projection

3.13 In terms of the working age population, the five variant scenarios show that the migration levels into Carmarthenshire are higher than the principal WG 2014-based projection. This would provide a more optimistic outlook in seeking to achieve the targets outlined in Carmarthenshire's *Strategic Regeneration Plan*. Increased net migration inflows to Carmarthenshire in the young adult age groups would support higher economic growth and have a positive impact on the ageing population profile of the Unitary Authority.



3.14 Migration profiles will drive changes to Carmarthenshire's population age structure. Over the 2018–2033 plan period, there is substantial population growth projected in the 65+ age groups under all scenarios driven by the gradual ageing of the birth cohorts from the 1940s, 50s and 60s, plus the additional impact of net in-migration. As recognised in the *Hywel Dda Health Transformation Agenda*, Carmarthenshire's ageing population provides a real challenge for the future delivery of health and social care services.

4. Economic Growth

4.1 The demographic scenarios presented provide an indication of the potential impact of a continuation of past migration trends upon future population change and housing growth in Carmarthenshire. It is evident that historical migration trends in Carmarthenshire have been influenced by economic factors, resulting in lower net migration to the UA over the recessionary period.

4.2 The Edge Analytics report considers the future housing requirement in Carmarthenshire based on the Council's various economic strategies and publications. These strategies include

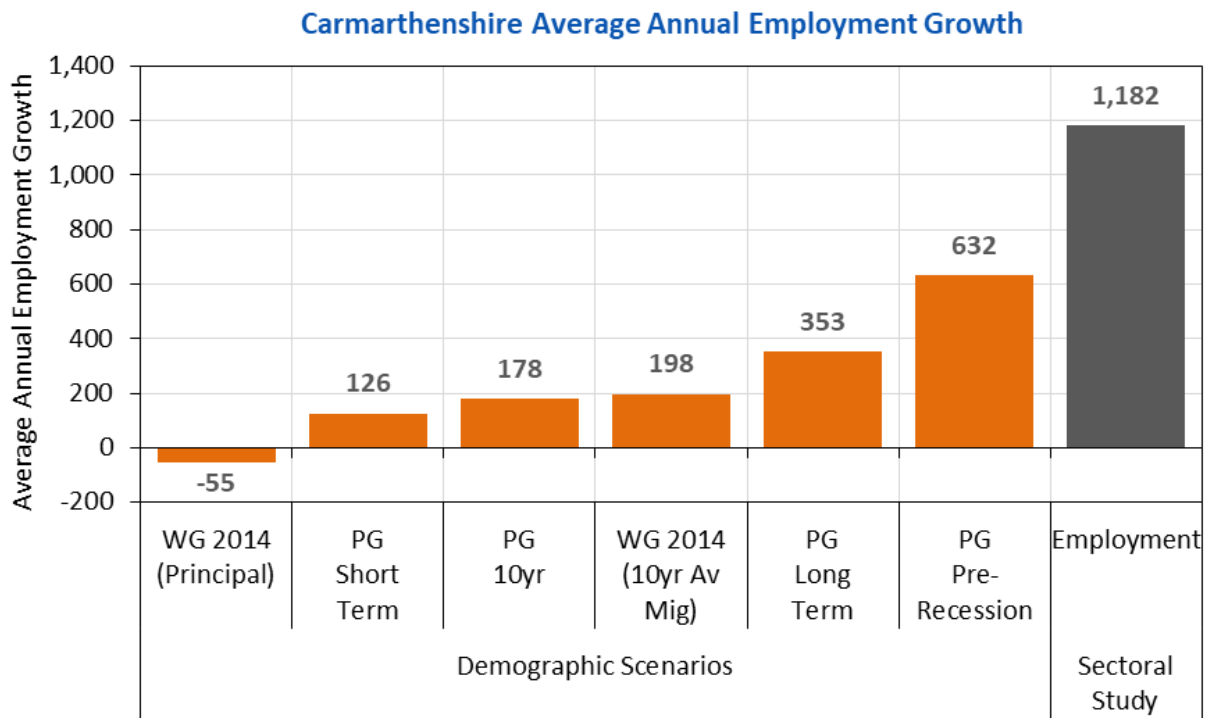
- **Swansea Bay City Deal** - and the projected creation of approximately 2,500 jobs within Carmarthenshire.
- **Carmarthenshire County Council Strategic Regeneration Plan** identifies a jobs growth target of 5,000 units over the 2015-2030 period, which includes those captured in the Swansea Bay City Deal.
- **The Employment Sectoral Study** – The study makes recommendations for target interventions and actions to develop a proactive land acquisition programme of employment sites and to support the growth of economic activity. For this to take place it assumes a fixed annual growth rate for key employment sectors. To fulfil its potential, the Employment Sectoral Study estimated an average annual jobs growth in nine priority sectors of +1,245 jobs per year over the 2017–2032 period, taking account of the Swansea Bay City Deal and six transformational projects.

4.3 The methodology of the Edge Analytics report considers the potential impact of employment growth upon population and housing growth in Carmarthenshire. POPGROUP quantifies the demographic impact of an economic growth trajectory by measuring the relationship between employment growth and the changing size of the resident population and its labour force.

4.4 The Edge Analytics report considers the Employment Sectoral Study as the basis for the employment led-scenario as it reflects the content of other economic and regeneration studies (as highlighted above).

Demographic scenarios and jobs growth

4.5 If the six demographic scenarios were considered, the table below indicates the number of new jobs the increase in population could support.



4.6 It is estimated that the population growth rate range of 1.7% to 14.2% (**WG 2014-based** to **PG Pre-Recession** respectively) could support an average annual employment change of -55 to +632 per annum over the 2018–2033 plan period.

4.7 The decline in employment change estimated under the **WG 2014-based** scenario, reflects the estimated decline in the labour force over the plan period, driven by population ageing and lower migration. The **PG Pre-Recession** records higher employment growth over the plan period, driven by higher migration and the maintenance of a more youthful population.

4.8 However, even the **PG Pre-Recession** scenario suggests a lower employment growth outcome than the 1,182 per year total from the *Employment Sectoral Study*. This suggests a higher population growth is required to support this level of employment growth, possibly in combination with future change in Carmarthenshire's commuting balance and its underpinning economic activity rates. A balanced view is however required in assessing the level of growth suggested in the PG Pre-Recession scenario and the Employment Led scenarios below.

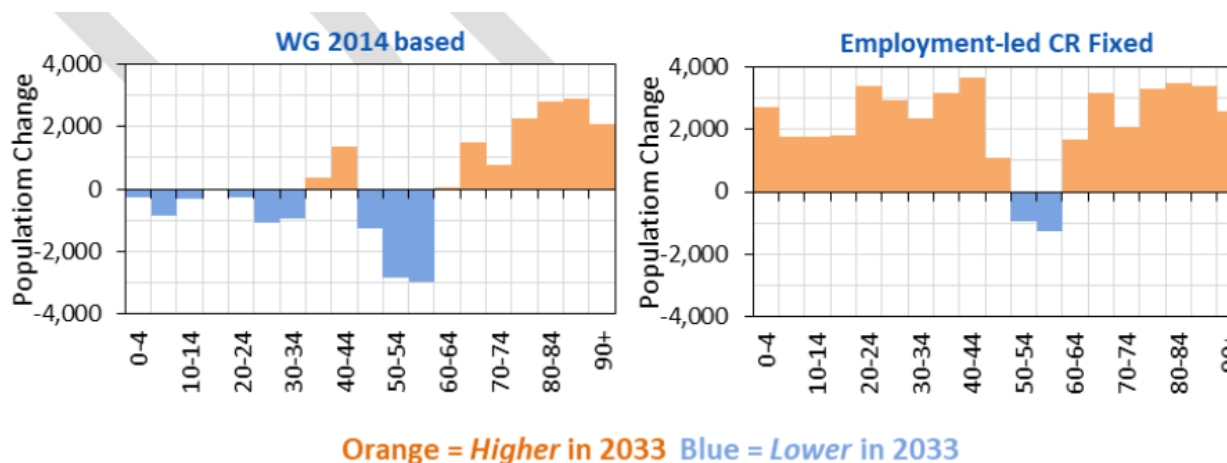
5. Employment Led Scenario and Population Growth

5.1 Using an employment-led formulation of the POPGROUP model, the required population and housing growth to meet the 1,182 per annum employment trajectory is estimated in the table below.

Employment-led Scenarios	Change 2018–2033				Average per year			Total Dwelling Growth (Census VR)	Total Dwelling Growth (Alt. VR)
	Population Change	Population Change %	Households Change	Households Change %	Net Migration	Dwellings (Census VR)	Dwellings (Alt. VR)		
CR Fixed	42,050	22.2%	19,027	23.2%	2,814	1,354	1,313	20,303	19,690
CR Reducing	36,481	19.3%	16,810	20.5%	2,483	1,196	1,160	17,938	17,396

Note: Employment growth, economic activity rate and unemployment rate assumptions are consistent for each, only the commuting ratio differs.

5.2 To support an average employment growth of +1,182 per year, the required estimated population change ranges from 19.3% to 22.2% over the plan period. This is notably higher than estimated under each of the demographic scenarios, driven by higher net in-migration flows to Carmarthenshire to support the defined economic growth. A younger migration profile is estimated under the employment-led scenarios (driven by larger growth in the working age groups), which in turn results in a younger population age profile than estimated under the demographic scenarios. For comparison, the difference in the make-up of the population change between the WG-based projection and the employment led projection is below.



5.3 To consider this in context of the adopted Local Development Plan 2006-2021, the LDP currently has a housing requirement of 1,013 dwellings per annum. Secondly, build rates for the previous 10 years has been at an average of approximately 500 dwellings per year. The employment-led scenario highlighted in the table above indicates over twice as many houses are required than what has historically been delivered.

6. Summary of the Growth Options for the Revised LDP

6.1 The Edge Analytics Report provides various demographic and employment led scenarios to consider as part of the revised LDP process. Each of the scenarios will be considered against other factors which influence the LDP, culminating in a favoured growth option.

- The WG 2014-based projections offers very low household growth due to the low migration levels for the period it considers. For economic aspirations, the 2014-based projection support an average employment change of -55 jobs.
- The WG 2014-based (10 yr average migration) using both vacancy rates considers a net increase of 450 or 436 dwellings per year. This equates to a total of 6,746 and 6,542 over the revised LDP period. For economic aspirations, this scenario supports an employment change of 198 additional jobs per year, or 2,970 jobs over the life of the revised LDP.
- The PG short term (using both vacancy rates) considers a net increase of 484 or 470 dwellings per year, resulting in a total of 7,263 or 7,044 dwellings over the plan period. For economic aspirations, PG Short Term supports an average employment change of 126 jobs per year, or 1,890 jobs over the life of the revised LDP.
- The PG 10 Year (using both vacancy rates) scenario outlines a net increase of 497 or 482 dwellings per year, this has a resultant requirement of 7,461 or 7,236 dwellings over the plan period. It delivers only a relatively marginal increase in job creation to that of the PG short term, falling short of the 5000 jobs figure identified in the Council's Regeneration Strategy.
- The PG Long term scenario (using both vacancy rates) considers a net increase of 680 or 659 dwellings per year, resulting in 10,195 or 9,887 dwellings over the plan period. For economic aspirations, PG Long term supports an average employment change of 353 jobs per year, or 5,295 jobs over the life of the revised LDP.

- The PG pre-recession scenario (using both vacancy rates) consider a net increase of 969 or 939 dwellings, resulting in 14,529 or 14,090 dwellings over the plan period. For the economic aspirations, PG pre-recession supports and average employment change of 632 jobs per year, or 9,480 jobs over the life of the revised LDP.
- In considering the employment led scenarios considered from the data within the Employment Sectoral Study, the number of dwellings required to support the employment growth is as follows:
 - Based on a fixed commuting ratio for the Plan period, the requirement would be 1,354 or 1,313 dwellings per year. This equates to 20,303 or 19,960 dwellings over the revised LDP period.
 - Based on the CR reducing ratio for the Plan period the requirement would be 1,196 or 1,160 dwellings per year. This equates to 17,938 or 17,396 dwellings over the revised LDP period.
 - In terms of the Commuting Reducing Ratio, it means that as the Plan progresses through the 15 years, there will be less need for the labour force to out-commute as the jobs will be available within the county.

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EXECUTIVE BOARD

22ND OCTOBER 2018

DIGNITY AND RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Recommendations / Key Decisions Required:

To endorse the adoption of the Dignity and Respect in the Workplace Guidance for Schools

Reasons:

The purpose of this guidance is to define unacceptable behaviour and identify strategies that everyone can use to overcome the debilitating effects of such behaviour. The key strategy however, and the essence of the guidance, is to expect and promote acceptable behaviour as the best way to prevent unacceptable behaviour.

Relevant scrutiny committee to be consulted	No
EXECUTIVE BOARD / COUNCIL / COMMITTEE:	Yes
Scrutiny Committee recommendations / comments:	None
Executive Board Decision Required	Yes
Council Decision Required	No

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Councillor Mair Stephens

Directorate: Chief Executive's / People Management & Performance

Name of Head of Service:	Designations:	Tel Nos.: E-Mail Addresses:
Paul R. Thomas	Assistant Chief Executive (People Management)	01267 246123 PRThomas@sirgar.gov.uk
Report Author: Julie Stuart	Senior HR Business Partner	01267 246375

EXECUTIVE BOARD

22ND OCTOBER 2018

DIGNITY AND RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

1. Background

Bullying, harassment and victimisation of any kind are not tolerated by Carmarthenshire County Council (the Authority). The School expects all employees to demonstrate the highest standards of behaviour in carrying out their duties and responsibilities. To achieve this standard it is essential that employees work in a supportive environment, which does not tolerate unacceptable behaviour, bullying, harassment or victimisation of any kind. The School is committed to creating a working environment in which everyone is treated fairly and with dignity and respect.

This guidance explains the School's view regarding the standards of behaviour that employees have a right to expect and are expected to show to others. It also illustrates how to identify and deal with unacceptable behaviour.

The aim of the guidance is to:

- Ensure dignity at work for all;
- Respect and value differences;
- Make full use of the talents of every member of the workforce;
- Prevent acts of discrimination, exclusion, unfair treatment and other negative or demeaning behaviours;
- Demonstrate our commitment to equal opportunities for all;
- Be open and constructive in our communications;
- Manage conflict;
- Be fair and just in our dealings; and
- Educate our workforce in the development of positive behaviours in line with the vision and values of the organisation.

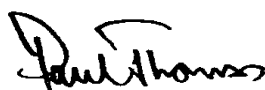
The guidance defines unacceptable behaviour and identifies strategies that everyone can use to overcome the debilitating effects of such behaviour. The key strategy however, and the essence of the guidance, is to expect and promote acceptable behaviour as the best way to prevent unacceptable behaviour.

Detailed report attached: Dignity and Respect in the Workplace Guidance for Schools

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report:

Signed: _____



ASSISTANT CHIEF EXECUTIVE (PEOPLE MANAGEMENT & PERFORMANCE)

Policy, Crime & Disorder & Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	NO	NO	NO	YES	NO

1. Policy, Crime & Disorder

The recommendations support the Council's Strategic Aim 'Building a Better Council' and 'Making Better Use of Resources'

2. Legal

The policy has been produced in accordance with the relevant legislation, which includes the Employment Rights Act and the Equality Act 2010.

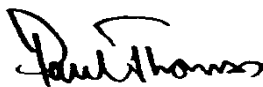
6. Staffing Implications

The HR Team will provide advice and guidance to schools on the application of the Dignity & Respect in the Workplace Guidance for Schools.

CONSULTATIONS

I confirm that the appropriate consultations have taken place and the outcomes are as detailed below:

Signed: _____



DIRECTOR OF EDUCATION & CHILDREN'S SERVICES

1. Scrutiny Committee

None

2. Local Member(s)

None

3. Community / Town Council

None

4. Relevant Partners

Head Teachers' Forum

5. Staff Side Representatives and other Organisations

Trade Unions - 22nd March 2018

**Section 100D Local Government Act, 1972 - Access to information
List of Background Papers used in the preparation of this report:**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Dignity & Respect in the Workplace Guidance for Schools		

Dignity & Respect in the Workplace Guidance for Schools

Effective : September 2018

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

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DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

1. INTRODUCTION

Bullying, harassment and victimisation of any kind are not tolerated by Carmarthenshire County Council (the Authority). Ysgol [insert name of school] School (the School) expects all employees to demonstrate the highest standards of behaviour in carrying out their duties and responsibilities. To achieve this standard it is essential that employees work in a supportive environment, which does not tolerate unacceptable behaviour, bullying, harassment or victimisation of any kind. The School is committed to creating both a working and school environment in which everyone is treated fairly and with dignity and respect.

This guidance explains the School's view regarding the standards of behaviour that employees have a right to expect and are expected to show to others. It also illustrates how to identify and deal with unacceptable behaviour. (Definitions of bullying, harassment and victimisation are contained in Appendix 1.) This guidance should be read in conjunction with the School's Grievance Policy and Procedure and Officers' Code of Conduct (Appendix 2).

The aim of the guidance is to:

- Ensure dignity at work for all;
- Respect and value differences;
- Make full use of the talents of every member of the workforce;
- Prevent acts of discrimination, exclusion, unfair treatment and other negative or demeaning behaviours;
- Demonstrate our commitment to equal opportunities for all;
- Be open and constructive in our communications;
- Manage conflict;
- Be fair and just in our dealings; and
- Educate our workforce in the development of positive behaviours in line with the vision and values of the organisation.

The guidance defines unacceptable behaviour and identifies strategies that everyone can use to overcome the debilitating effects of such behaviour. The key strategy however, and the essence of the guidance, is to expect and promote acceptable behaviour as the best way to prevent unacceptable behaviour.

2. SCOPE

This guidance will apply to staff working in the school, except those who are directly employed by the Local Authority and those working in the school via an employment agency.

3. CONFIDENTIALITY

Where staff have access to confidential information about pupils and / or their parents or carers, they must not reveal such information except to those colleagues who have a genuine professional interest in the pupil.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Throughout, confidentiality **must** be maintained by all parties involved, both inside and outside of the workplace. Any breach of confidentiality may result in the disciplinary procedure being invoked.

4. ROLES AND RESPONSIBILITIES

a. Human Resources

The HR Advisor will provide advice and support to Governors, Headteachers and staff on the application of this guidance and associated policies and procedures.

b. Managers

All Governors, Headteachers and Line Managers are responsible for ensuring that they and their staff carry out their duties in accordance with this guidance and associated policies by:

- Leading by example and improving personal leadership abilities, promoting high standards of behaviour, managing conflict effectively and appropriately participating in relevant management development;
- Ensuring this guidance is communicated to their respected teams and ensure individuals understand their personal responsibilities;
- Challenging inappropriate behaviour in the workplace promptly and promoting positive employee relationships; and
- Identifying staff training and development needs in relation to equality and diversity as required.

c. All Staff

Staff at all levels are personally responsible for ensuring they positively support the principles and values of this guidance, promote positive employee relations, challenge inappropriate behaviour and uphold the principles set out in the Officers' Code of Conduct, and other associated policies and guidance.

All staff must:

- Afford dignity, trust and respect to everyone;
- Be aware of the effect of our own behaviour on others;
- Communicate honestly and openly, clearly stating what we mean and expect of others; and
- Provide honest feedback based on evidence and be open to constructive criticism.

5. ACCEPTABLE BEHAVIOUR

We must recognise how acceptable behaviour is defined varies both within and between cultures e.g. in relation to personal space, contact between sexes, levels of formality / informality and so on. Such situations can give rise to offence, distress or feelings of discrimination to all parties when a complaint is raised. In accepting and

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

embracing cultural diversity all staff must work sensitively but not lose sight of the individual's perception of unacceptable behaviour.

All employees have a role to play in helping to create a culture where Dignity at Work is respected and any form of inappropriate behaviour is not accepted.

6. UNACCEPTABLE BEHAVIOUR/CONDUCT

Unacceptable behaviour means any action instigated by an individual that can be described as discrimination, harassment or bullying. It has a devastating effect on those involved, and can be costly and counterproductive.

Employment legislation prohibits unwanted conduct that is related to an individual's race (which includes colour, nationality, ethnicity or national origins); disability; religion, belief; age; sex; gender reassignment; sexual orientation; pregnancy or maternity; marital status or civil partnership; welsh language (which is not legislative but is recognised by the Authority as a protected characteristic) or that of another person (even when not directed at them) e.g. a colleague witnessing or observing unwanted conduct against a colleague can make a claim of harassment discrimination or bullying regardless of gender where they are affected by the conduct.

It may not be so clear in advance that some other forms of behaviour would be unwelcome to, or could offend, a particular person e.g. certain 'banter', flirting or asking someone for a private drink after work. In these cases, first time conduct which unintentionally causes offence will not be deemed as harassment but will become harassment if the conduct continues after the recipient has made it clear, by words or conduct, that such behaviour is unacceptable to him / her.

7. DEFINING BULLYING, HARASSMENT AND VICTIMISATION

Harassment is 'unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual'.

Harassment is also a criminal offence under the Protection from Harassment Act 1997.

The relevant protected characteristics are age, disability, gender reassignment, race, religion or belief, sex and sexual orientation.

Bullying is 'offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient'.¹

Victimisation is when someone 'subjects or threatens to subject the other person to detriment'.

¹ Definition by ACAS

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

The following examples show the variety of ways in which unacceptable behaviour can occur. The list is neither exhaustive nor exclusive; it serves to illustrate a range of potential indicators of unacceptable behaviour.

- Using aggressive language, threatening, ridiculing, ignoring people or shouting;
- Shifting blame to others;
- Communicating with people at home unnecessarily (especially demanding work when the person is absent due to sickness or ill health);
- Focussing only on weaknesses;
- Bringing up details of someone's private life;
- Leaving impossibly long lists of tasks and making unreasonable demands;
- Criticising people in their absence;
- Inappropriate conversations, comments or jokes;
- Questioning an individual about their sexual relationship / preferences;
- Frequent comments about aspects of physical appearance or using forms of address that are demeaning;
- Repeated staring or leering or suggestive looks at parts of the body;
- Unwanted physical contact of any kind;
- Making unwanted sexual advances;
- The use of pin ups, posters or electronic display e.g. pornographic pictures, objectionable images;
- Improper comments about age, race, sex, gender identity, ethnicity, disability, sexual orientation and religion or belief (including non-belief), marriage or civil partnership, pregnancy or maternity;
- Excluding of a colleague from workplace talk or activities;
- Threatening or implying that you will cause the person to lose their job or fail to get a promotion or suffer some other form of career difficulty or financial disadvantage. This can also include inviting employees to leave their employment if they raise a concern;
- Using language and / or gestures in such a way that someone fears for their personal safety; and
- Coercing someone to join the harassment / bullying / victimisation of another person.

For further details relating to the definitions of bullying, harassment and victimisation please refer to Appendix 1.

8. CYBER BULLYING

Examples of cyber bullying or harassment using electronic means include:

- Offensive e-mail - sending offensive e-mails to a colleague or other third party even if it is supposed to be a joke in which a person might be offended by the content of the message or any attachments;
- E-mail threats - as well as a direct threat this could also include relatively inoffensive messages in terms of content but the implied meaning behind the message can constitute a form of bullying;
- Flame mail - sending aggressive and / or abusive emails to individuals or groups of individuals;

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- Posting comments on social networking sites. The School does not allow access to social media during working hours via the School's network at any time except for legitimate educational or business reasons and where the relevant permission has been obtained. Employees need to be mindful that in relation to use of social media, it is not just educational or business use that can have an effect in the workplace but also personal use of social media outside the workplace. Please refer to the School's Social Networking Guidance for further information.

Deliberately copying individuals into e-mails who do not need to know about the content, where this is deemed to be inappropriate and has the intention of humiliating or undermining an individual.

9. DETERMINING WHETHER UNACCEPTABLE BEHAVIOUR IS TAKING PLACE

The key questions are:

- Is the person experiencing discomfort, distress or unhappiness at work or at home that is emanating from work?
- Is this the result of another person's unacceptable behaviour at work?

Unacceptable behaviour may also occur outside of work at e.g. work related social functions and the principles of this policy continue to apply. It is important that employees adhere to the standards set out in Section 4 and 5 of this guidance.

The examples of unacceptable behaviour within this policy are not exhaustive and action may be taken where a behaviour not listed is judged to be unacceptable when considering the principles of this policy.

10. CAPABILITY, CONDUCT AND POSITIVE MANAGEMENT

Where concerns regarding work performance arise the School's Capability Policies & Procedures ensures that there is a fair and effective process for managing work performance and capability issues. Please refer to the appropriate Capability Policy & Procedure for further details.

Where concerns regarding conduct arise the School's Disciplinary Policy & Procedure ensures that there is a fair and effective process for managing conduct issues. Please refer to Disciplinary Policy & Procedure for further details.

Appropriate application of the School's Disciplinary Policy & Procedures by a manager who has a legitimate concern regarding an employee's performance or conduct is not regarded as harassment or bullying. Please refer to Appendix 2 'Positive Management and Bullying'.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

11. RESOLVING CONCERNS OF UNACCEPTABLE BEHAVIOUR

- a. Employee's role in informal resolution if they are the recipient of unacceptable behaviour

Employees are positively encouraged to raise their concerns rather than put up with inappropriate behaviour at work whether they have been the subject or witness to such behaviour. Things can only improve if the employee makes it clear to the person whom they believe is acting inappropriately that the behaviour is unacceptable, either directly to the individual or with the support of a manager.

Concerns should be raised at the earliest opportunity and resolved informally, quickly and sensitively by all parties involved. This approach has many advantages as it enables early and effective resolution, reduces embarrassment and the risk of breaching confidentiality, and minimises disruption at work. The aim is to resolve concerns and improve working relationships at the earliest opportunity. Please see Appendix 3 and 4 for guidance on informal resolution.

All parties are expected to take concerns seriously, recognise their own contribution to the situation and work towards a positive and constructive resolution. Concerns will be considered impartially and fairly, and resolved by implementing appropriate remedial action promptly.

People are not always aware that certain behaviour is inappropriate and unwelcome, and an informal discussion can often help to clear the air and improve understanding so that the behaviour ceases.

If employees feel they are experiencing unacceptable behaviour at work they are encouraged to discuss their concerns with their Headteacher at the earliest opportunity (or a Governor, if appropriate).

If an employee does not wish to raise their concerns initially with the School they are encouraged to speak to a recognised Trade Union representative for initial support before raising their concern informally with a manager or HR Team. For contact information please refer to Appendix 5.

Alternatively, an employee may wish to speak to a member of the HR Team who will offer reassurance and advice, and explore with the employee the different approaches to resolving the concern informally. Whilst this initial discussion will be treated in strict confidence, the HR Advisor will explain to the employee the circumstances where the concern may be shared with an appropriate Headteacher or Chair of Governors e.g. where the employee or another individual may be at risk and there is a duty of care.

Any meetings at this stage of the procedure are informal and as such there is no right to be accompanied by a companion i.e. a recognised Trades Union representative or a work colleague. However, this may be in the best interest to support a speedy resolution and this can be considered on a case by case basis.

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b. Manager's role in informal resolution

Where an employee raises a concern of perceived unacceptable behaviour with their Headteacher / Line Manager / Governor and it is evident that the employee has tried to resolve the situation informally with the individual concerned but to no effect, the Headteacher / Line Manager / Governor is responsible for facilitating an informal discussion with the individuals at the earliest opportunity.

The informal discussion with the individuals should be conducted within 5 working days of receiving the concern wherever possible. The informal discussion should be structured to enable both parties to explain the impact, circumstances and context of the alleged behaviour and to plan and agree appropriate behaviour moving forward.

The Headteacher / Line Manager / Governor may wish to seek advice from a HR Advisor to plan and prepare for the discussion.

During the meeting the manager should ask the employee who has raised the concerns to describe the alleged behaviour, why it has been perceived to be inappropriate and its impact. This will enable all parties to understand that the recipient's feelings are real and important. This is a vital aspect of the meeting as it is common for individuals not to be aware of the impact of certain behaviour on others. The Headteacher / Line Manager / Governor should acknowledge the recipient's response and then offer the employee alleged to have behaved inappropriately an opportunity to respond.

Ideally the sharing of perceptions from both parties with the Headteacher / Line Manager/Governor will lead to a better understanding on both sides of the actual behaviour experienced and the standards of behaviour expected moving forward. The Headteacher / Line Manager/ Governor as part of the discussion should agree with both parties the behaviour that is expected moving forward and review dates to monitor the effectiveness of the changes. Headteachers / Line Managers / Governor are expected to maintain a confidential record of the initial and subsequent discussions and agreed outcomes (there is no requirement for a note taker at these meetings). Please refer to Appendix 4 for further guidance relating to managing conflict between individuals.

There may be occasions where during the process one or both of the employees involved may report sick. Where this is the case meetings relating to the issues should be re-convened as soon as is reasonably practicable. If the reason for the absence is connected to the issues raised then it is important to continue to attempt to resolve through this guidance and also refer to the Sickness Absence Policy. If stress is a factor please refer to the Occupational health stress information. Advice can also be sought from Occupational Health Unit.

There may be cases where professional mediation is the most appropriate and effective route to rebuild the relationship. Mediation is not however a universal remedy and as such advice should be sought from HR before discussion with the parties involved to assess whether this is the appropriate course of action.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

c. Employee's role in informal resolution if responsible for the alleged unacceptable behaviour

If someone approaches another employee about their behaviour, the recipient's concern should not be dismissed out of hand because it was only intended to be a joke or the employee responsible believes the individual is being too sensitive.

It is important to remember that different people find different behaviour acceptable or unacceptable and everyone has the right to decide how the behaviour has impacted on them and to have their feelings respected by others. The individual responsible for the behaviour may have offended someone without intending to. If that is the case, the recipient may be content with an explanation and an apology and an assurance that they will be mindful not to behave in a way that they now know may cause offence in future.

In such circumstances the Headteacher / Line Manager / Governor facilitating the informal stages will continue to monitor the situation for an agreed period and the individual responsible will be advised of this.

If the individual responsible for the behaviour has any concerns they should speak to their Headteacher / Line Manager / Governor, their Trade Union Representative or contact the HR Team.

12. FORMAL ACTION

All parties involved should make every effort to resolve concerns at the informal stage as this produces better outcomes for all concerned. There may however be occasions where unacceptable behaviour cannot be resolved at an informal stage and this will depend on the circumstances of the case.

a. Grievance Procedure

When all reasonable attempts at an informal resolution have been exhausted and / or the inappropriate behaviour continues, the recipient can formalise their concerns through the formal stages of the School's Grievance Policy & Procedure. This should be submitted in writing outlining the grounds of the complaint to their Headteacher / Line Manager / Governor.

Headteacher / Line Managers / Governor should seek advice from a HR Advisor at the earliest opportunity on receipt of a formal grievance.

At all stages of the formal Grievances Procedure, both the recipient and employee responsible for the alleged inappropriate behaviour, have the right to be accompanied by a companion i.e. a recognised Trades Union representative or a work colleague.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

b. Disciplinary Procedure

There will be occasions where the conduct being reported in accordance with this guidance will fall under the definitions of the School's Disciplinary Policy & Procedure. This will be dependent on the seriousness of the matter and the nature of the concerns. Headteachers / Line Managers / Governor should seek advice from a HR Advisor on a case by case basis.

13. MALICIOUS COMPLAINTS

On occasion, it may be considered that the concerns raised are made maliciously or grossly exaggerated, with no basis in fact, and / or are purely an attempt to damage an employee in some way. The Headteacher / Line Manager / Governor handling the concerns will need to consider the appropriate course of action following advice from a HR Advisor. The Disciplinary Procedure may be invoked in this situation.

If you require this publication in an alternative format please contact People Management on 01267 246100 or email:
PMPBusinessSupportUnit@carmarthenshire.gov.uk

This Guidance is also available in Welsh

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 1.

DEFINITIONS

Bullying

Bullying can be defined as “offensive, intimidating, malicious, insulting or humiliating behaviour, abuse of power or authority which attempts to undermine an individual or group of employees and which may cause them to suffer stress”.

Harassment

It is difficult to specify an exact definition of harassment. However in general terms, it is a range of behaviour that is unwanted, demeaning or offensive to the person against whom it is directed which has the intention or effect of violating the dignity of that person or creating an environment which is intimidating, hostile, degrading, humiliating or offensive. The behaviour displayed will vary according to the type of harassment that is taking place. This can be on the basis of:

- Age
Ridicule or demeaning behaviour based on stereotypical perceptions and prejudices about a person's age or experience.
- Disability
Undignified treatment, ridicule or exclusion of people because of their disability, actual or perceived vulnerability or actual/perceived reduction in independence.
- Race
An act or a series of actions directed at a person or group of people because of their colour, race, nationality, ethnic origin or cultural differences. It can range from creating an uncomfortable or unpleasant atmosphere to physical abuse.
- Religion or Belief
Socially unacceptable behaviour which fails to tolerate or acknowledge the rights or needs of individuals with different religious convictions, beliefs and practices.
- Gender
Unwanted or derogatory comments based on stereotypical perceptions and prejudices.
- Sexual Harassment
Unwanted conduct of a sexual nature, such as unwelcome sexual advances (either physical or verbal), propositions, offensive flirtation, innuendoes, lewd comments, leering and whistling, or display of suggestive or pornographic material.
- Personal Characteristics / Choices
Behaviour which condemns or ridicules on the basis of personal attributes or lifestyle.
- Sexual Orientation
Behaviour which condemns, ridicules or excludes persons on the basis of their sexual orientation.

This list is neither exclusive nor exhaustive.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 1.

Victimisation

The legal definition of victimisation is when someone 'subjects or threatens to subject the other person to any detriment'.

Victimisation broadly refers to bad treatment, directed towards someone who has made, or is believed to have made, or supported a complaint, or punishing, or threatening to punish someone.

In particular, in relation to the Equality Act 2010, it is treating someone badly because they have done a 'protected act'.

A 'protected act' is:

- Making a claim or complaint of discrimination (under the Equality Act);
- Helping someone else to make a claim by giving evidence or information;
- Making an allegation that you or someone else has breached the Act; and
- Doing anything else in connection with the Act.

The Trade Union and Labour Relations (Consolidation) Act 1992, protects employees from victimisation by detriment or dismissal on grounds of union membership and taking part in the activities of an independent trade union.

Examples of Victimisation in the workplace can include:

- Bullying and intimidation by co-workers;
- Being denied a promotion or being moved to a position with lower responsibility;
- Dismissal from employment;
- Being refused further contract work.

In addition, from October 2010, The Equality Act stipulates that harassment also includes the following:

- Harassment based on association. It is unlawful to discriminate against or harass any individual for association with another individual who has a protected characteristic (other than marriage and civil partnership, and pregnancy and maternity). For example, it would be harassment for an individual to tease repeatedly an individual because of an incorrect belief that that the recipient is deaf. Similarly, harassment could take place where an individual is bullied or harassed because of another person with whom the individual is connected or associated, for example if their child is disabled, their wife is pregnant or their friend is a devout Christian.
- Harassment based on a perception. It is unlawful to discriminate against or harass any individual based on a perception that he or she has a particular protected characteristic (other than marriage and civil partnership, and pregnancy and maternity) when he or she does not, in fact, have the protected characteristic. If an employee is called names and made fun of because his colleagues believe that he is a transsexual, he may have a claim for perceptive harassment related to the protected characteristic of gender reassignment, even though he is not a transsexual.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 1.

- Bullying or harassing behaviours are not governed by position or authority. Clearly there are similarities between bullying and harassment, however, there is also a vital distinction, which is, that harassment has its roots in discrimination.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

OFFICERS' CODE OF CONDUCT

1. Introduction

This Code of Conduct includes the statutory requirements of the Code of Conduct (Qualifying Local Government Employees) (Wales) Order 2001, which came into force on 28th July 2001. The Order provides that by virtue of Section 82(7) of the Local Government Act 2000 the terms of appointment or conditions of employment of employees of relevant authorities to whom the code applies are to be deemed to incorporate the code of conduct set out in the Schedule to the Order. This document satisfies that requirement.

2. General Principles

The public is entitled to expect the highest standards of conduct from all employees. The role of such employees is to serve their employing Authority in providing advice, implementing its policies, and delivering services to the local community. In performing their duties, employees must act with integrity, honesty, impartiality and objectivity. Employees will be expected, through agreed procedures and without fear of recrimination, to bring to the attention of the appropriate level of management, any deficiency in the provision of service.

3. Accountability

Employees work for their employing authority and serve the whole of the Authority. They are accountable to, and owe a duty to that Authority. They must act in accordance with the principles set out in this code, recognising the duty of all public sector employees to discharge public functions reasonably and according to the law.

4. Treatment of Information

- 4.1. Openness in the dissemination of information and decision making should be the norm. However, certain information may be confidential or sensitive and therefore not appropriate for a wider audience. Where confidentiality is necessary to protect the privacy or other rights of individuals or bodies, information should not be released to anyone other than a Member, Authority employee or other person who is entitled to receive it, or needs to have access to it for the proper discharge of their functions. Nothing in this Code can be taken as overriding existing statutory or common law obligations to keep certain information confidential, or to divulge certain information. Employees should consult their Headteacher if there is uncertainty regarding the status of any type of information.
- 4.2. Employees should not use any information obtained in the course of their employment for personal gain or benefit, nor should they pass it on to others who might use it in such a way. Any particular information received by an employee from a Member which is personal to that Member and does not belong to the Authority, should not be divulged by the employee without prior approval of that Member, except where such disclosure is required or sanctioned by the law.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

5. Political Neutrality

- 5.1. Employees serve the Authority as a whole. It follows they must serve all Members and not just those of a particular group, and must ensure that the individual rights of all Members are respected.
- 5.2. Subject to the Authority's conventions, employees may also be required to advise political groups. They must do so in ways which do not compromise their political neutrality.
- 5.3. Employees, whether their post is politically restricted or not, must follow every lawfully expressed policy of the Authority and must not allow their own personal or political opinions interfere with their work. When employees are politically restricted (by reason of the post they hold, the nature of the work they do, or the salary they are paid), they must comply with any statutory restrictions on their political activities.

6. Relations with Members, the Public and Other Employees

6.1. Members

Employees are responsible to the Authority through their Headteacher. Mutual respect between employees and Members is essential to good local government, and working relationships should be kept on a professional basis.

6.2. The Public and Service Users

Employees should always remember their responsibilities to the community they serve and ensure courteous, efficient and impartial service delivery to all groups and individuals within that community as defined by the policies of the School and Authority. Employees should deal with the public, Members, and other employees sympathetically, efficiently, and without bias.

6.3. Contractors

All relationships of a business or private nature with external contractors, or potential contractors, should be made known to the Headteacher, or the Chair of Governors in the case of the Headteacher. Orders and contracts must be awarded on merit, by fair competition against other tenders, and no special favour should be shown to business run by, for example, friends, partners or relatives, in the tendering process. No part of the local community should be discriminated against.

- 6.4. Employees who engage or supervise contractors or have any other official relationship with contractors and have previously had or currently have a relationship in a private or domestic capacity with contractors should declare that relationship to the Headteacher.

7. Appointment of Staff and other Employment Matters

Employees involved in the recruitment and appointment of staff must ensure that appointments are made on the basis of merit. In order to avoid possible accusations of bias, such employees must not be involved in any appointment, or any other

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

decision relating to discipline, promotion or pay and conditions for any employee, or prospective employee, to whom they are related, or with whom they have a close personal relationship outside work. Please see the Close Personal Associations Guidance for Schools for further information.

8. Outside Commitments

- 8.1. Employees should not take outside employment which conflicts with the School's or Authority's interests.
- 8.2. Employees should follow the Authority's rules on ownership of intellectual property or copyright created during their employment.

9. Employees Undertaking Private Work

- 9.1. Employees of Carmarthenshire County Council are NOT permitted to undertake private work which relates to any matters likely to require consideration or approval by the School or Council
- 9.2. Where an employee may desire to undertake work for their personal gain, prior written approval must be obtained from the Headteacher.
- 9.3. Should the Headteacher encounter any difficulty in sanctioning such a request, s/he may consult the Assistant Chief Executive (People Management) for advice, before ultimately referring the matter to the Appeals Committee for determination.

FAILURE TO ADHERE TO THE ABOVE RULING WILL CONSTITUTE GROSS MISCONDUCT AND RESULT IN SUMMARY DISMISSAL IN ACCORDANCE WITH THE SCHOOL'S DISCIPLINARY PROCEDURE

10. Personal Interests

- 10.1. Whilst employees' private lives are their own concern, they must not allow their private interests to conflict with their public duty. They must not misuse their official position or information acquired in the course of their employment to further their private interests, or the interests of others.
- 10.2. Employees must declare to their Headteacher any financial and non-financial interests that they consider should bring about conflict with the Authority's interests.
- 10.3. Employees must comply with rules on the declaration of hospitality or gifts offered to or received by them, from any person or organisation doing or seeking to do business, or otherwise benefiting or seeking to benefit from a relationship with the School or Authority. Employees must not accept benefits from a third party unless authorised to do so by the School or Authority (See Section 15).

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

11. Equality Issues

All local government employees should ensure that policies relating to equality issues as agreed by the School are complied with in addition to the requirements of the law. All members of the local community, customers and other employees have a right to be treated with fairness and equity.

12. Separation of Role During Tendering

12.1. Employees involved in the tendering process and dealing with contractors must be aware of client and contractor roles within the authority. Senior employees who have both a client and contractor responsibility must be aware of the need for accountability and openness.

12.2. Employees in contract or client units must exercise fairness and impartiality when dealing with all customers, suppliers, other contractors and sub-contractors.

12.3. Employees who are privy to confidential information on tenders or costs for either internal or external contractors must not disclose that information to any unauthorised party of organisation. Failure to follow this ruling will result in disciplinary action in accordance with the School's Disciplinary Policy & Procedure.

12.4. Employees contemplating a management buyout should, as soon as they have formed a definite intent, inform the appropriate manager and withdraw from the contract awarding process.

12.5. Employees must ensure that no special favour is shown to current or recent former employees or their partners, close relatives or associates in awarding contracts to businesses run by them or employing them in a senior or relevant managerial capacity.

13. Corruption

Employees must be aware that it is a serious criminal offence for them corruptly to receive or give any gift, loan, fee, reward or advantage for doing, or not doing anything or showing favour, or disfavour, to any person in their official capacity. Allegations of this nature will be investigated / dealt with in accordance with the School's Disciplinary Policy & Procedure.

14. Stewardship

Employees must ensure that they use public funds entrusted to them in a responsible and lawful manner and must not utilise property, vehicles or other facilities of the Authority for personal use unless authorised to do so. They should strive to ensure value for money to the local community and to avoid legal challenge to the Authority.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

15. Hospitality

- 15.1. Offers of Gifts or Hospitality should immediately be reported to your Line Manager who will consider whether it is appropriate to be accepted. Any Hospitality or offer of Gift should only be accepted if properly authorised by a Line Manager and subsequently recorded on the appropriate register.

Employees should only accept offers of hospitality if there is a genuine need to impart information or represent the Local Authority in the community. Offers to attend purely social, cultural or sporting functions should be accepted only when these are part of the life of the community and where the Authority should be seen to be represented.

- 15.2. When hospitality has to be declined those making the offer should be courteously but firmly informed of the procedures and standards operating within the Authority.
- 15.3. Employees must not accept significant personal gifts from contractors and outside suppliers, although the authority will allow employees to keep insignificant items of token value such as pens, diaries etc.
- 15.4. When receiving authorised hospitality employees and Line Managers should be particularly sensitive as to its timing in relation to decisions which the Authority may be taking affecting those providing the hospitality
- 15.5. Acceptance by employees of hospitality through attendance at relevant conferences and courses is acceptable where it is clear that hospitality is corporate rather than personal. Where visits to inspect equipment etc. are required, employees should ensure that the Authority meets the cost of such visits to avoid jeopardising the integrity of subsequent purchasing decisions
- 15.6. Gifts or hospitality accepted with a cash or in kind value estimated to exceed £25.00 should be recorded on the declaration form completed by your Line Manager / Headteacher / Chair of Governors (as appropriate) and will then be forwarded to the Department's Nominated Officer for countersigning and inclusion in the departmental register

16. Sponsorship - Giving and Receiving

- 16.1. Where an outside organisation wishes to sponsor or is seeking to sponsor a local government activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of gifts or hospitality apply. Particular care must be taken when dealing with contractors or potential contractors.
- 16.2. Where the Authority wishes to sponsor an event or service, neither an employee or any partner, spouse or relative must benefit from such sponsorship in a direct way without there being full disclosure to an appropriate manager or any such interest. Similarly, where the Authority, through sponsorship, grant aid, financial or other means, gives support in the community, employees should ensure that impartial advice is given and that there is no conflict of interest involved.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

17. Whistleblowing

In the event that an employee becomes aware of activities which that employee believe to be illegal, improper, unethical or otherwise inconsistent with this Code, the employee should report this matter, acting in accordance with the employee's rights under the Public Interest Disclosure Act 1998, and the Authority's confidential reporting procedure i.e. the Whistleblowing Policy.

18. Investigations by Monitoring Officers

Where a Monitoring Officer is undertaking an investigation in accordance with regulations made under Section 73(1) of the Local Government Act 2000, an employee must comply with any requirements made by that Monitoring Officer in connection with such an investigation.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

OFFICERS' DECLARATION OF PERSONAL INTERESTS

Before considering whether you need to complete this form, please ensure that you are familiar with the School's Code of Conduct and the guidance on personal interests, gifts and hospitality, a copy of which should be available to you when you receive this form.

This form must **only** be completed if you have a personal interest to declare, in which case it must be returned to your Line Manager. You should also use the form to tell us about any other paid employment that you have outside the School - for further details see the guidance.

If you do not currently have an interest to declare please retain this form for possible future use. If a personal interest arises at any time in the future you must inform your Line Manager in writing, either by completing this form or confirming the interest by e-mail or letter. Remember that you should also apply for consent before accepting any gift or hospitality with a value of over £25 - see the guidance for more details.

Failure to disclose interests could result in formal disciplinary action.

Name:	Employee No.:
School:	
Post Title:	

DECLARATION

I hereby disclose the following personal interests:

Signed:	Date:
(Employee)	

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 2.

FOR OFFICE USE ONLY

No action required*
Mitigating action to be taken as detailed below*
Referred to Headteacher*
Referred to Chair of Governors*

Signed: _____
(Line Manager)

Date: _____

No action required*
Mitigating action to be taken as detailed below*
Referred to Chair of Governors*

Signed: _____
(Headteacher)

Date: _____

ACTION BOX

I confirm that a copy of this completed form has been returned to the employee.

Signed: _____
(Nominated Officer)

Date: _____

To the employee - Please ensure that you retain the signed document as evidence that you have declared the interest(s) specified above and please ensure that you adhere to any requirements indicated in this decision.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 3.

The information outlined below is an extract from the Chartered Institute of Personnel and Development which helps to illustrate the difference between positive management and bullying.

This specifically refers to performance in teams but can equally be applied in relation to individuals.

Positive management v bullying²

Often those accused of bullying find it difficult to recognise themselves as behaving in a bullying or aggressive way. Conversely, some Headteachers / Line Managers are concerned about tackling poor performance and being accused of bullying.

When Headteachers / Line Managers find themselves having to deal with an underperforming team, part of their role is to motivate the team to perform more effectively. The process of bringing about changes in how teams work usually involves a number of areas.

If changes are introduced and managed correctly, they can bring about the necessary educational and / or business improvements with minimal employee distress. However, if the Headteacher / Line Manager handles change poorly, accusations of bullying can occur.

Differences between strong management and bullying when managing poorly performing teams:

<u>Addressing poor performance in teams</u>	<u>Positive management</u>	<u>Bullying</u>
Identifying the performance issue.	Involves looking at all the potential reasons for poor performance, for example people, systems, training and equipment.	No attempt to identify the nature or source of the poor performance.
Seeking the views of the team or individual to identify the cause of the unacceptable level of performance.	The team takes part in looking for the source of the problems in performance and helps the manager to identify solutions for the whole team.	No discussion of the cause of the performance deficit, or opportunities for the team members to discuss their difficulties.
Agreeing new standards of performance with all team members.	Involves setting and agreeing standards of performance and behaviours for each team member and the manager.	Imposing new standards without team discussion on appropriate standards of performance or behaviour.

² Source: Chartered Institute of Personnel & Development 'Managing conflict at work'

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 3.

Agreeing the method and timing of monitoring / auditing team performance.	Wherever possible the team or team member takes part in the monitoring process. The outcome of the monitoring is openly discussed.	Without agreeing standards, the monitoring can occur at any time and can involve areas that are unexpected by team members.
Failure to achieve the standards of performance is dealt with as a performance improvement issue.	Opportunities are taken to identify individuals who are struggling, and support is provided. Where individuals are unwilling to comply with the agreed performance improvement process, disciplinary actions may be taken.	Individuals who fail to achieve the standards of performance are put under pressure to conform. This may include ridicule, criticism, shouting, withholding of benefits, demotion teasing or sarcasm.
Recognising positive contributions.	Recognises and rewards improvements in performance, attitudes and behaviours.	With no monitoring, it's impossible to recognise where there have been positive contributions. Rewards and recognition are therefore arbitrary and open to acts of favouritism.

INFORMAL WAYS OF RESOLVING CONFLICT

1. Direct communication

If your discussions seem to be 'stuck' try another way. For example, if the person isn't answering your phone messages, try email or a face-to-face conversation. If oral conversations are going around in circles, try including another person to facilitate, or write a letter.

2. Explaining the impact on yourself

One way to improve respect when having a difficult discussion is to use 'I statements' rather than 'you statements'. That is, explaining how you feel and what you want rather than interpreting or judging what the other party did, or second-guessing the other party's motives.

A variation on this approach is to explain 'When you.... I feel.... Is this what you intended?'

That is, you explain as factually as possible how you reacted to what the other person(s) has said or done (or not done), and then explain how you feel this has impacted on your working relationship. You can then ask the other person to respond.

The other person(s) might acknowledge that their intention was indeed to create more distance between you. On the other hand, they might recognise this was an unintended outcome of what they did, and begin a discussion of how to change their communication style and improve your relationship in the future.

3. Writing a letter

Putting your thoughts in writing can be very helpful to clarify your own thoughts and to think about what you want to say and how you want to say it to the other person - who can read the letter and reflect on its contents in privacy and without the pressure of having to give you an instant response.

A letter should have 3 parts:

- a. The facts as you perceive them – with no interpretations or opinions. What an audiotape or videotape would record;
- b. Your feelings or reactions. The impact, the difficulties or hurt that now exist; and
- c. The remedies you propose. What you think should happen next, your ideas for constructive next steps, or future 'ground rules'.

Sometimes it is helpful to write a letter even if you don't give it to the other person(s). It may help you to understand your feelings and identify your priorities, and it may also serve as a "script" for what you want to emphasize when you talk directly with the other party.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 4.

4. Asking an impartial third party to facilitate

Sometimes it is helpful to involve someone independent and impartial to support communication between you and the person you are experiencing difficulty with and help you resolve your concerns constructively. Confidentiality must be maintained by all parties involved in the process.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 5.

MANAGING CONFLICT BETWEEN INDIVIDUALS A Guide for Headteachers / Line Managers / Governors

1. Have a quiet word

In many disputes between individuals there is a clear transition from an informal to a formal stage in the conflict.

The informal stage often involves simply talking and listening to your employees. Giving people the time and space to express their feelings and concerns can often help to clear the air.

Employees also need to know:

- That they can approach you if they have a problem at work;
- That you will listen take their concerns seriously; and
- Who they can approach if they find it difficult to discuss their concerns with you e.g. Trade Union Representative or HR.

It helps if you can foster a culture within your team that encourages employees to express their opinions and work out solutions.

2. Investigate informally

Don't make quick decisions based on a 'gut feeling' about what is going on. Take the time to talk to team members, colleagues and gather any relevant information about those involved.

Also, be clear about your role in resolving the conflict and what you hope to achieve. Most people involved in conflict will have their own ideas about what they would like to happen, but what would be a reasonable outcome for everyone?

3. Use the School's internal procedures

If an employee makes an official complaint to you then the conflict has moved towards a more formal stage. If this happens you need to refer to the School's Grievance Policy when dealing with grievances, bullying or harassment - as well as the Disciplinary Policy for misconduct, Capability Policy for poor performance and Sickness Absence Policy. There are also separate procedures for dealing with collective disputes.

4. Upgrade your skills as a manager

Having one-to-one conversations with employees and other managers requires a great deal of sensitivity and empathy. You need to:

- listen to what employees say and try and pick up on any underlying causes of unhappiness or stress ;

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 5.

- question employees in a measured and calm way, putting them at ease and giving them the chance to speak freely ;
- reframe what's been said so that problems can be seen in a different light ;
- build teams by making connections between the interests of the individual and that of the team, your department or the Authority;
- lead by example and set the right tone for the way people communicate with each other in your team and ensure that there is respect for diversity.

Training and development can help you keep up to date with current employment matters and keep your management skills up to date.

DIGNITY & RESPECT IN THE WORKPLACE GUIDANCE FOR SCHOOLS

Appendix 6.

STANDARDS OF BEHAVIOUR KEY CONTACTS

If you would like to discuss your concerns in the first instance you can contact the following:

Human Resources:

Lowri Jones
HR Advisor
LJJones@sirgar.gov.uk
01267 246078

Steve Ebsworth
HR Advisor
SDJEbsworth@sirgar.gov.uk
01267 246089

Michelle Lewis
HR Advisor
MLEwis@sirgar.gov.uk
01267 246793

Julie Stuart
Senior HR Business Partner
JStuart@sirgar.gov.uk
01267 246375

Occupational Health:

Please call on 01267 246060 or e-mail OccupationalHealth@carmarthenshire.gov.uk

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EXECUTIVE BOARD

22ND OCTOBER 2018

FLEXIBLE WORKING POLICY AND PROCEDURE FOR SCHOOLS

Recommendations / Key Decisions Required:

To endorse the adoption of the Council's Flexible Working Policy and Procedure for Schools.

Reasons:

The purpose of this Policy and Procedure is to assist Headteachers in handling applications from employees who have exercised their statutory right to request flexible working.

Relevant scrutiny committee to be consulted	No
EXECUTIVE BOARD / COUNCIL / COMMITTEE:	No
Scrutiny Committee recommendations / comments:	None
Executive Board Decision Required	Yes
Council Decision Required	No

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER: Cllr. Mair Stephens

Directorate: Chief Executive's / People Management & Performance

Name of Head of Service:	Designations:	Tel Nos.: E-Mail Addresses:
Paul R. Thomas	Assistant Chief Executive (People Management)	01267 246123 PRThomas@sirgar.gov.uk
Report Author: Julie Stuart	Senior HR Business Partner	01267 246375 JStuart@sirgar.gov.uk

EXECUTIVE BOARD

22ND OCTOBER 2018

FLEXIBLE WORKING POLICY AND PROCEDURE FOR SCHOOLS

1. Background

Under provisions set out in the Employment Rights Act 1996 and regulations made under it, all employees have a statutory right to ask their employer for a change to their contractual terms and conditions of employment to work flexibly provided they have worked for their employer for 26 weeks continuously at the date the application is made. An employee can only make one statutory request in any 12 month period.

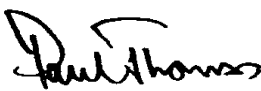
Employers can better manage flexible working requests by creating the right environment where employees can be sure decisions regarding their requests will be handled objectively and fairly and that employees will not be treated less favourably because they asked for flexible working arrangements.

Detailed report attached:

Flexible Working Policy and Procedure for Schools

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report:


 Signed: _____
ASSISTANT CHIEF EXECUTIVE (PEOPLE MANAGEMENT & PERFORMANCE)

Policy, Crime & Disorder & Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	NO	NO	NO	YES	NO

1. Policy, Crime & Disorder

The recommendations support the Council's Strategic Aim 'Building a Better Council' and 'Making Better Use of Resources'

2. Legal

The policy has been produced in accordance with the relevant legislation, and the Acas Guide: The right to request flexible working.

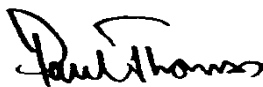
6. Staffing Implications

The HR Team will provide advice and guidance to schools on the application of the Flexible Working Policy & Procedure for Schools.

CONSULTATIONS

I confirm that the appropriate consultations have taken place and the outcomes are as detailed below:

Signed: _____



DIRECTOR OF EDUCATION & CHILDREN'S SERVICES

1. Scrutiny Committee

None

2. Local Member(s)

None

3. Community / Town Council

None

4. Relevant Partners

Head Teachers Forum

5. Staff Side Representatives and other Organisations

Trade Unions - 22nd March 2018

**Section 100D Local Government Act, 1972 - Access to information
List of Background Papers used in the preparation of this report:**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Flexible Working Policy & Procedure for Schools		

Flexible Working Policy & Procedure for Schools

Effective : September 2018

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

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1. INTRODUCTION

Under the provisions set out in the Children and Families Act 2014, all employees have a statutory right to ask their employer for a permanent change to their contractual terms and conditions of employment to work flexibly.

The School has a statutory duty to consider all such applications seriously.

This statutory right does not provide an automatic right to work flexibly. The School will work with employees to try and reach mutually acceptable flexible working arrangements that meet the needs of both parties. However, there may be circumstances where a request to work flexibly may be declined due to business reasons and these will be clearly explained during the application procedure.

The statutory right aims to facilitate discussion and encourage both the employee and the Line Manager to consider alternative flexible working patterns and to find a solution that suits both parties.

Before 30th June 2014, the right only applied to the parents of children under 16 or 18 in the case of parents of disabled children or those caring for an adult. Now any eligible employee can apply to work flexibly for any reason.

2. SCOPE

This Policy covers all employees on the complement of locally managed schools.

3. PRINCIPLES

- Each application for flexible working will be considered on its own merits and subject to qualifying criteria.
- Employees will be provided with appropriate support and information during the course of their application by the Headteacher (or nominated representative) with advice from the HR Team.
- Either a recognised trade union representative or a work colleague can accompany employees as a companion at the meeting or the appeal meeting.
- Employees can expect to have their application considered properly in accordance with the set procedure.
- Applications will be dealt with in accordance with the prescribed time limits unless both parties agree to an extension.
- Applications will only be refused where there is a clear business ground for doing so. The reasons for rejecting the application will be clearly explained.
- All agreed contractual variations under this procedure will be recorded in writing.

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

- A successful application will result in a permanent change to the employee's terms and conditions of employment.

4. ELIGIBILITY

In order to make a request, the individual will:

- Be an employee;
- Have worked for the employer continuously for at least 26 weeks at the date the application is made;
- Not be an agency worker; and
- Not have made another application under this policy during the previous 12 months.

Once eligibility has been established an employee can make a request under this policy by completing attached form FW(A).

5. SCOPE OF THE REQUEST

Eligible Employees will be able to request:

- A reduction in the hours they work;
- A change to the times when they are required to work; and / or
- A change to the place at which they work either in full or in part (specifically home as opposed to workplace).

Examples of the types of flexible work patterns that may be requested are contained at Appendix 1. However, it should be noted that not all the work patterns identified may be suitable to your circumstances or working environment.

6. MAKING AN APPLICATION

All requests must be made in writing by filling the application form FW(A). Any request under this policy must include:

- Date of the application;
- The changes that the employee is seeking to their terms and conditions;
- The date on which the employee would like the terms and conditions to come into effect;
- What effect the employee thinks the requested change would have on the School;
- How, in their opinion, any such change might be dealt with; and
- Whether or not the employee has made a previous request for flexible working and if so when the employee made that application.

7. THE PROCEDURE

An employee must in the first instance submit their formal application to the Headteacher using FW(A). The level of detail required will depend on the desired changes to the existing working pattern. However, employees should note that it could take **up to 3 months** to complete the process from submission of the application to final implementation. (Guidance for Employees is contained at Appendix 2).

An accepted application will mean a permanent change to the employee's own terms and conditions of employment. **There will be no right to revert to the previous working pattern.** It will be important therefore that, before making an application, the employee gives careful consideration to which working pattern will be best for them, any financial implications, including their pension and to any effects such a request will have on the School and how the request can be accommodated.

It is also the Headteacher's (or nominated representative) responsibility to carefully consider an application for flexible working and examine how the desired working pattern can be accommodated within a particular service area or function. Where the request cannot be supported the Headteacher (or nominated representative) should explore alternative options with the employee which may be mutually agreeable.

At all stages of this procedure both the employee and Headteacher (or nominated representative) can seek advice from the HR Team within People Management. Employees may also seek advice from a recognised Trade Union representative.

8. CONSIDERING THE APPLICATION

It is possible for a Headteacher (or nominated representative) to support a request to work flexibly simply on the basis of the application itself and if so s/he will refer the application, along with a completed 'Headteacher's Summary Sheet' to the Staffing Sub Committee for ratification. Following ratification by the Staffing Sub Committee, the Headteacher should write to the employee within 28 calendar days, specifying agreement and the start date. Where it is not possible to respond within the set timescales, there is a set procedure to be followed.

An application will be considered to have been made on the day it was received by the School. For applications sent by e-mail or fax this day is taken to be the day of transmission. For applications sent by post it means the day on which it would have been delivered in the ordinary course of post, unless shown to be otherwise.

If an employee does not provide all the information required the Headteacher (or nominated representative) should inform the employee what they have omitted and ask them to re-submit their application within 7 calendar days. The Headteacher (or nominated representative) should also inform the employee that s/he is not obliged to consider the request until it is complete and re-submitted.

If the employee does not provide the Headteacher (or nominated representative) with the information needed to assess whether the change can be agreed to e.g. he or she has not described the desired working pattern, the School will be entitled to treat the

application as withdrawn. The employee will not then be able to make another application under this procedure for a further 12 months. It is therefore important for the employee to provide the information requested.

9. THE MEETING

Within 28 calendar days of receiving a formal application under this procedure, the Headteacher (or nominated representative) will arrange to meet with the employee. The employee will be entitled to be represented at the meeting by a companion i.e. a recognised trade union representative or work colleague (Please refer to the guidance on the 'Role of a Companion'). Where an employee chooses to be accompanied at the meeting and the companion is unable to attend, the meeting should be rearranged to take place within 7 calendar days of the original date proposed for the meeting.

The purpose of the meeting is to allow both parties an opportunity to explore the desired work pattern in depth and to discuss how best it might be accommodated. It will also provide an opportunity to explore other alternative working patterns should there be problems with the proposal put forward by the employee. The meeting can be adjourned to allow the employee and / or the Headteacher (or nominated representative) to consider alternative solutions or working patterns and agreement reached on the next meeting date.

Following the meeting, the Headteacher will refer the application, along with a completed 'Headteacher's Summary Sheet' to the Staffing Sub Committee for ratification.

If an employee does not attend a meeting without notification and does not provide a reasonable explanation within 7 calendar days the Headteacher (or nominated representative) should write to the employee confirming that the application is treated as withdrawn.

The Headteacher (or nominated representative) is responsible for taking and retaining notes confidentially and in accordance with data protection principles, of all meetings with the employee to discuss the flexible application request.

10. THE RIGHT TO BE ACCOMPANIED

An employee will have the right to be accompanied by a companion at the meeting and / or the appeal meeting concerning their application for flexible working. The companion can be either a recognised trade union representative or a work colleague. The person accompanying the employee can provide advice and address the meeting / appeal meeting, but is not allowed to answer questions on the employee's behalf. The companion will have the right to request reasonable paid time off to prepare for and attend the meeting / appeal meeting.

11. INFORMING THE EMPLOYEE OF THE OUTCOME

Where an application is approved by the Staffing Sub Committee, the Headteacher (or nominated representative) should:

- Within 14 calendar days of the meeting, confirm in writing to the employee their agreement with the proposed or alternative work pattern and confirm a start date. Form FW (B) should be completed and returned to the employee.

Where an application is rejected by the Staffing Sub Committee, the Headteacher (or nominated representative) should:

- Within 14 calendar days of the meeting, provide in writing to the employee a clear business ground(s) as to why the application cannot be accepted and their reasons why the ground(s) apply in the circumstances. Form FW(C) should be completed and returned to the employee.

There may however be occasions when the Staffing Sub Committee will take further advice before making their final decision. Should this be the case, the Headteacher (or nominated representative) should agree with the employee concerned an extension to the time scale for responding to the application. This should be clearly documented with the revised time scale being specified.

12. TRIAL PERIODS

Trial periods can help both the employee and Headteacher (or nominated representative) test a particular working pattern to see if it works out to the satisfaction of both.

In some circumstances, especially when caring for an adult, a permanent change may not be the best solution, e.g. an employee suddenly becomes the carer of an adult with a terminal illness, the Headteacher (or nominated representative) may consider a temporary flexible working arrangement, agreed informally outside the formal procedure, or agree to a time limited change after which the employee reverts back to the original pattern.

Trial periods can potentially happen at two stages before a formal agreement is reached:

- The Headteacher (or nominated representative) could give informal agreement to a trial before a formal flexible working request has been made by the employee. If this happens, the formal procedure is still available to the employee at some stage in the future; or
- If a formal application is made, an extension of the time for an employer to make a decision could be agreed and the trial period could happen before a final agreement takes place. In this case, the rest of the formal procedure would still be available to the employee.

13. BUSINESS GROUNDS FOR REFUSING A REQUEST

Unfortunately, service needs or circumstances may dictate that an application for flexible working cannot be accommodated in accordance with the employee's desired work pattern or a compromise agreed. Under the legislation, applications can only be rejected for one or more of the following reasons:

- Burden of additional costs;
- Detrimental effect on ability to meet customer demand;
- Inability to reorganise work among existing staff;
- Inability to recruit additional staff;
- Detrimental impact on quality (of service);
- Detrimental impact on performance;
- Insufficiency of work during periods the employee proposes to work; and / or
- Planned structural changes.

The Headteacher (or nominated representative) will clearly document and provide for the employee the ground(s) for rejecting an application as well as clearly explain how the specified ground(s) apply in the circumstances of their application. Form FW(C) should be completed as detailed above.

14. APPEAL

Where the Headteacher (or nominated representative) turns down an application, the employee has the right to appeal against the decision. This must be done in writing, to the Chair of Governors setting out the grounds for the appeal, within 14 calendar days of receipt of the written notice of the decision (Employees should complete Form FW(D)).

The appeal will be heard by the Appeals Sub-Committee, consisting of 3 members of the Governing Body who have not been involved previously, with advice from a HR Advisor.

An appeal meeting will then be convened within 14 calendar days of receipt of the letter of appeal (Form FW(D)). The employee will be entitled to be represented at the appeal by a companion i.e. a recognised trade union representative or work colleague. Where an employee chooses to be accompanied and the companion is unable to attend, the meeting should be rearranged to take place within 7 calendar days of the original proposed date for the appeal meeting.

Where new information is presented to the appeal, which supports the ground(s) for the appeal, this will be taken into account. For instance where the original application has been refused due to the inability to reorganise work among existing staff or was due to the inability to recruit additional staff; and another employee has since elected to return to work following maternity leave on a part-time basis and is prepared to cover the hours.

In circumstances where the employee does not attend an appeal meeting without notification and does not provide a reasonable explanation within 7 calendar days the

Chair of Governors, or nominated representative, should write to the employee confirming that the appeal is treated as withdrawn.

15. INFORMING THE EMPLOYEE OF THE OUTCOME OF THE APPEAL

The decision of the appeal meeting will be notified to the employee within 14 calendar days of it being held. The Chair of Governors, or his/her nominated representative, will communicate this in writing to the employee by completing Form FW(E). The decision at appeal will be final and exhausts the internal procedure.

If the appeal is upheld the written decision must:

- Include a description of the new working pattern;
- State the date from which the new working pattern is to take effect; and
- Be dated

If the appeal is dismissed the written decision must:

- State the grounds for the decision appropriate to the employee's own grounds for making the appeal;
- Provide an explanation as to why the grounds for refusal apply in the circumstances; and
- Be dated

16. DECLINED APPLICATIONS

Most applications will conclude with a satisfactory outcome but there may be occasions when the employee feels their application has not been dealt with to their satisfaction and the request is declined. The employee may want to involve a third party or be thinking about making a complaint to an employment tribunal. However, the following are options to deal with unresolved and declined applications:

- Through an informal discussion with their Headteacher (or nominated representative);
- Through the School's Grievance Procedure; or
- Using third party involvement, e.g. an ACAS official.

However, an employee can make a complaint to an Employment Tribunal or ACAS early conciliation where:

- The employer has failed to follow the procedure properly; or
- The decision by the employer to reject an application was based on incorrect facts.

An employee has no right to make a complaint where they simply disagree with the business grounds provided. Please note that the early conciliation scheme is voluntary and both the employee and employer must agree to the process.

17. EXTENTION OF TIME LIMITS

There will be exceptional occasions when it is not possible to complete a particular part of the procedure within the specified time limit. Such extension of time limits can only take place if both the Headteacher (or nominated representative) and the employee agree to them. The Headteacher (or nominated representative) must make a written record of this agreement and send a copy to the employee. Form FW(F) should be completed. However, where the employee or Headteacher (or nominated representative) responsible for dealing with the application is away from work due to leave or illness, an automatic extension of the time limit will apply. The period the Headteacher (or nominated representative) has to arrange the meeting will commence either on the day of the employee or manager's return or 28 calendar days after the application is made. On the Headteacher's (or nominated representative) return to work, the application should be acknowledged so that the employee is aware that the extension has applied and the period in which they can expect to meet with their manager.

18. WITHDRAWAL OF AN APPLICATION

There will be occasions when an application is treated as withdrawn. In all circumstances a written record must be made.

Under the legislation, should an employee withdraw an application following its submission to the Headteacher (or nominated representative), the employee will not be able to make another application until 12 months from the date of the original application. Employees should complete and submit FW(G) to their Headteacher (or nominated representative).

There are three reasons why an application may be treated as withdrawn:

- The employee decides to withdraw the application;
- The employee fails to attend two meetings; or
- The employee unreasonably refuses to provide the Headteacher (or nominated representative) with the required information.

The appropriate Line Manager, Headteacher, Chair of Governors, or their nominated representative, will write to the employee to confirm this.

19. ENSURING EQUALITY OF TREATMENT

This policy must be applied consistently to all irrespective of race, colour, nationality, ethnic or national origins (including citizenship), language, disability, religion, belief or non-belief, age, sex, gender reassignment, sexual orientation, parental, marital or civil partnership status (including same sex couples).

If you have any equality and diversity concerns in relation to the application of this policy and procedure, please contact a member of the HR Team who will, if necessary, ensure the policy / procedure is reviewed accordingly

If you require this publication in an alternative format please contact People Management on 01267 246100 or email:

PMPBusinessSupportUnit@carmarthenshire.gov.uk

This Policy & Procedure is also available in welsh

EXAMPLES OF WORKING ARRANGEMENTS / PATTERNS

(which can be requested under the right to request flexible working)

Annualised Hours	Working time organised on the basis of the number of hours to be worked over a year rather than a week.
Compressed Hours	Total hours which can be worked over a shorter period e.g. full weekly hours being worked over 4 days instead of 5.
Flexi Time	Choice of actual working hours outside certain core times.
Home Working	Not necessarily on a full-time basis but allows for time to be divided between home and office base. A risk assessment of the activities undertaken will be required in advance of this pattern of work being undertaken.
Job-Sharing	Typically when 2 people are employed on a part-time basis but working together to cover one post.
Shift Working	Gives scope to open longer hours and for employees to have either set or different hours of work per week.
Staggered Hours	Different start and finish times at different times of day.
Term-Time Working	Allows for unpaid leave of absence during the school holidays.

GUIDANCE FOR EMPLOYEES

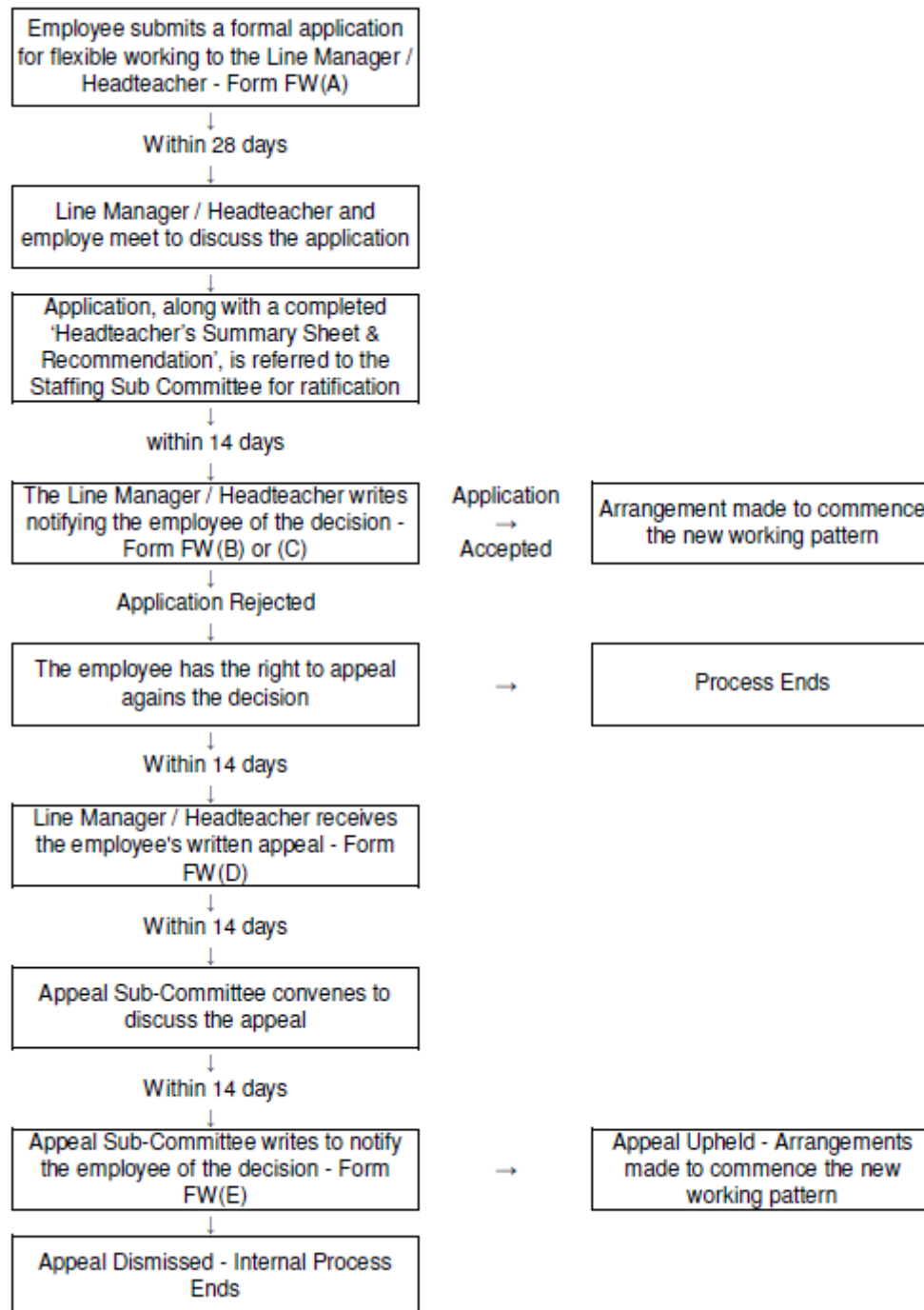
How to help the School consider your application:

- Think carefully about the working pattern you require before making your request. You will have no right to revert back to your former hours of work.
- Be clear about the date you would like the new working pattern to commence. Allow sufficient time for the procedure to be undertaken.
- Always complete Form FW(A) when submitting your application. This will ensure that you provide all the relevant and necessary information for the School to consider your application properly.
- The more notice you provide in your application the more likely your Line Manager is to be able to accommodate your preferred start date, if the application is successful.
- Take into account the financial implications of your request prior to submitting your application.
- It is to your advantage to provide as much detail as possible about the pattern you would like to work.
- Take time to consider the impact on your work colleagues if your working pattern is changed.
- Support your application by providing the perceived business benefits of approving a request for flexible working e.g. demonstrating how your request will provide extra cover at peak hours thereby improving customer service.
- Consider the potential problems your request may present and provide possible solutions.
- Ensure you submit your application to the appropriate officer for consideration.
- If you are due to go on maternity leave think carefully about when to submit your application. If you intend for your request, if approved, to start on your return to work then you will need to meet your Line Manager during your period of maternity leave.

The Meeting

- Be prepared to expand on any points within your application;
- Be prepared to be flexible e.g. consideration of alternative work patterns, trial periods or alternative start dates; and
- If you intend to be accompanied at the meeting ensure your companion is fully briefed on your request.

HOW THE PROCESS WORKS



The Statutory Right to Request Flexible Working

Form FW(A) : Flexible Working Application Form

To be eligible to make a request for flexible working, you must have at least 26 weeks' continuous service with the employer. If you are uncertain whether or not you are eligible to make a request, please contact your Headteacher (or nominated representative). You can only make one formal request in any 12 month period.

1. Personal Details

Name: _____ Employee No. _____

Address: _____
_____ Postcode: _____

Manager's Name: _____

Start Date with Carmarthenshire County Council: _____

Have you submitted a previous request for flexible working? Yes / No

If yes, confirm the date you submitted your last flexible working request? _____

Are you a disabled person making a request for flexible working related to your disability? Yes / No

2. Working Pattern

a. Describe your current working pattern (days / hours / times worked):

b. Describe the working pattern you would like to work in the future (days / hours / times):

c. I would like this working pattern to commence from:

Date: _____

3. Impact of New Working Pattern

I think this change in my working pattern will affect my employer and colleagues as follows:

4. Accommodating the New Working Pattern

I think the effect on my employer and colleagues can be dealt with as follows:

Once you have submitted a valid application for flexible working your manager will contact you to arrange a meeting, which will take place within 28 calendar days of the application being submitted, to discuss how the pattern of work you have requested might be made to work. If your request is granted, it will mean a permanent change to the terms and conditions of your employment.

Signature: _____

Date: _____

NOW PASS THIS APPLICATION TO YOUR EMPLOYER

----- ✂ -----

Please return a signed copy of this form to your Employer retaining a copy for your own records.

Employer's Confirmation of Receipt (to be completed and returned to the employee)

Employee Name: _____ Employee No. _____

Address: _____

Postcode: _____

I confirm that I received your request to change your working pattern on:

Date: _____

I shall be arranging a meeting to discuss your application within 28 calendar days following this date. In the meantime, you might want to consider whether you would like a companion i.e. a recognised trade union representative or a work colleague to accompany you to the meeting. If so, please confirm the name of your chosen companion to me.

From: _____ Headteacher (or nominated representative)

Date: _____

HEADTEACHER'S SUMMARY & RECOMMENDATION
(Report to the Staffing Sub Committee)

Operational Impact

Financial Impact

Headteacher Recommendation

Signature: _____
(Headteacher)

Date: _____

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

APPENDIX 6.

Form FW(B) : Flexible Working Application Acceptance Form

Note to Employer:

You must notify your employee of your decision in writing within 14 days following the meeting. This form can be completed by the Line Manager when accepting an application to work flexibly. If you cannot accommodate the requested working pattern you may still wish to explore alternatives to find a working pattern suitable to both employee and employer. Please note that Form FW(C) : Flexible Working Application Rejection Form should be used if the employee's working pattern cannot be changed, and no other suitable alternatives can be found.

Dear Employee: _____	Employee No. _____
Following receipt of your application and our meeting on [date], the Staffing Sub Committee have considered your request for a new flexible working pattern and:	
<input type="checkbox"/> I am pleased to confirm that I am able to accommodate your application	
<input type="checkbox"/> I am unable to accommodate your original request. However, I am able to offer the alternative pattern which we have discussed and you agreed would be suitable to you.	
Your new working pattern will be as follows: _____	
Your new working pattern will begin from: _____ (date)	

Note to the Employee:

Please note that the change to your working pattern will be a permanent change to your terms and conditions of employment and you have no right in law to revert to your previous working pattern.

If you have any questions on the information provided on this form please contact me to discuss them as soon as possible.

Name: _____	
Signature: _____	Date: _____

NOW RETURN THIS FORM TO YOUR EMPLOYEE

MODEL AGREEMENT FOR PART-TIME TEACHER'S WORKING TIME

This model agreement is intended to record clearly the agreed terms of each Part-time Teacher's working time obligations, in terms of teaching and non-teaching activities, in order to ensure that any subsequent uncertainty or dispute is avoided and that every Part-time Teacher's pay reflects the full extent of their work.

Name: _____

Days of Work:

Monday (am)	<input type="checkbox"/>	Monday (pm)	<input type="checkbox"/>
Tuesday (am)	<input type="checkbox"/>	Tuesday (pm)	<input type="checkbox"/>
Wednesday (am)	<input type="checkbox"/>	Wednesday (pm)	<input type="checkbox"/>
Thursday (am)	<input type="checkbox"/>	Thursday (pm)	<input type="checkbox"/>
Friday (am)	<input type="checkbox"/>	Friday (pm)	<input type="checkbox"/>

Teaching Duties

Teaching

Teaching time will be for a maximum of ____ hours per week of the school's timetabled teaching week of ____ hours, allocated as follows:

Monday (am)	<input type="checkbox"/>	Monday (pm)	<input type="checkbox"/>
Tuesday (am)	<input type="checkbox"/>	Tuesday (pm)	<input type="checkbox"/>
Wednesday (am)	<input type="checkbox"/>	Wednesday (pm)	<input type="checkbox"/>
Thursday (am)	<input type="checkbox"/>	Thursday (pm)	<input type="checkbox"/>
Friday (am)	<input type="checkbox"/>	Friday (pm)	<input type="checkbox"/>

'Trapped time' in timetabling arrangements will be treated as paid non-contact time.

PPA and Non-Contact Time

PPA & non-contact time will be pro-rata to that for full-time teachers in similar positions and will be for ____ hours / periods per week.

TLR Payments

Additional non-contact time will be allocated to provide for additional responsibilities undertaken and will be for ____ hours per week.

Non-Teaching Duties

Registration (delete as appropriate)

- Be responsible for registering a class on every working day morning and / or afternoon.
- Be available for other duties as reasonably directed.

Assemblies and Mid-Session Breaks

Be present during the above and be available as reasonably necessary in the same way as full-time teachers during this time.

Other Duties (delete as appropriate)

- Be required to undertake other duties for up to ____ hours per week.
- Be available to undertake other duties as reasonably required for which directed time will be allocated.

Staff / Departmental Meetings (delete as appropriate)

- Attend staff meetings only on days normally worked.
- Attend all staff meetings with additional paid working time as appropriate.
- Attend on some other basis (please specify).

Parental Consultation Meetings & Open Meetings (delete as appropriate)

- Attend parents / open meetings only on days normally worked.
- Attend all parents / open meetings, with additional paid working time as appropriate.
- Attend on some other basis (please specify).

INSET / non-pupil days (delete as appropriate)

- Attend INSET / non-pupil days only on days normally worked.
- Attend non-pupil days only on days normally worked and attend all INSET days, with additional paid working time as appropriate.
- Attend on some other basis (please specify).

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

APPENDIX 7.

Changes to these Arrangements

Any reasonable changes to these arrangements will be subject to consultation and discussion between the two parties. Additional paid working time will be added when additional duties accrue.

Signed: _____
(Teacher)

Date: _____

Signed: _____
(Headteacher)

Date: _____

Form FW(C) : Flexible Working Application Rejection Form

Note to Employer:

You must notify your employee of your decision in writing within 14 days following the meeting. This form can be completed by you when declining an application. Before completing this form you must ensure that full consideration has been given to the application. You must state the business ground(s) as to why you are unable to agree to a new working pattern and the reasons why the ground(s) applies in the circumstances.

Dear Employee: _____	Employee No. _____
Following receipt of your application and our meeting on [date], I have considered your request for a new flexible working pattern and:	
I am sorry but I am unable to accommodate your request for the following business ground(s):	

The grounds apply in the circumstances because:	

(You should explain why any other work patterns you may have discussed at the meeting are also inappropriate. Please continue on a blank sheet if necessary.)	

If you are unhappy with the decision you may appeal against it. Details of the appeal procedure are set out below.

Name: _____	
Signature: _____	Date: _____

Form FW(D) : The Appeal Process

Note to Employee:

If your employer turns down your request for flexible working, you have the right to appeal against the decision. If you wish to appeal, you must write to your employer, setting out the grounds of your appeal, within 14 calendar days after receiving written notification of his / her decision.

Dear

I wish to appeal against your decision to refuse my application for flexible working. I am appealing on the following grounds:

(Please continue on a separate piece of paper if necessary)

Signature:

Date:

NOW RETURN THIS FORM TO YOUR EMPLOYER

To the Employer:

If you are rejecting your employee's request for flexible working, your employee has the right to appeal against your decision.

If your employee appeals against your decision to refuse a request for flexible working, you must arrange an appeal meeting with your employee within 14 days of receipt of the letter.

You must notify the employee of the outcome of their appeal, in writing, within 14 calendar days of the meeting using form FW(E).

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

APPENDIX 10.

Form FW(E) : Flexible Working Appeal Reply Form

Note to Appeal Sub-Committee:

You may complete this form when replying to an appeal that an application to work flexibly has not been properly considered. You must return this form to your employee, giving notice of your decision, within 14 calendar days after the meeting at which you discussed the appeal. If you decide to turn down the appeal, you must state the grounds for your refusal.

Dear Employee: _____	Employee No. _____
Following our meeting on [date], I have considered your appeal against the decision to refuse your application to work a flexible working pattern.	
I accept your appeal against the decision. I am therefore able to accommodate your original request to change your working pattern as follows:	

Your new working arrangements will begin from (date): _____	

Note to the Employee:

Please note that the change in your working pattern will be a permanent change to your terms and conditions of employment and you have no right in law to revert back to your previous working pattern.

Dear Employee: _____	Employee No. _____
I am sorry but I must reject your appeal for the following ground(s):	

The ground(s) apply because:	

(Please continue on a separate piece of paper if necessary)	
Name: _____	
Signature: _____	Date: _____

NOW RETURN THIS FORM TO YOUR EMPLOYEE

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

APPENDIX 11.

Form FW(F) : Flexible Working Extension of Time Limit for Part of the Procedure

Note to Employer:

This form is provided for you to complete when confirming agreement with your employee that you wish to extend a time limit for part of the procedure, from that set out in the regulations. You may extend the time limit for any part of the process, providing your employee agrees to the extension.

Dear Employee:	Employee No.
I wish to extend the amount of time that the regulations allow me to:	
<ul style="list-style-type: none">• Arrange a meeting to discuss your application (28 days)• Notify you of my decision regarding your application (14 days)• Arrange a meeting to discuss your appeal (14 days)• Notify you of my decision regarding your appeal (14 days)	
I wish to extend the time limit to ____ days. This means that I will have until: to complete the necessary action. I need the extra time for the following reason:	
If you agree to this extension, please complete the slip below and return it to me. After this date, the flexible working procedure and time limits will recommence.	
Signature:	Date:

NOW PASS THIS APPLICATION TO YOUR EMPLOYEE

Note to the Employee:

To allow proper consideration of your request, your employee may wish to extend the permitted time limit for any part of the process. Your employer will need your agreement to any extension of the time limit. If you agree to the above request, please complete the agreement slip below and return it to your employer within 7 calendar days.

----- ✂ -----

Cut this slip off and return it to your employer in order to confirm your acceptance of their request.

Employee's Agreement to Time Extension (to be completed and returned to employer)	
I accept your request to extend the amount of time to _____. After this date, the flexible working procedure and time limits will recommence.	
Name:	
Signature:	Date:

FLEXIBLE WORKING POLICY & PROCEDURE FOR SCHOOLS

APPENDIX 12.

Form FW(G) : Flexible Working Notice of Withdrawal Form

Note to Employee:

This form provides notification to your employer that you wish to withdraw your application to work flexibly. Once you have withdrawn your application, you will not be able to make another application until 12 months from the date of your original application was made.

Dear _____	
I wish to withdraw my application to work flexibly, which I submitted to you on (date of original application) _____.	
I understand that I will not be able to make another application until twelve months after the above date.	
Name: _____	Employee No.: _____
Signature: _____	Date: _____

NOW RETURN THIS FORM TO YOUR EMPLOYER

To the Employer:

Once your employee has completed this form and returned it to you, the application is considered as withdrawn and you are not required to give it any further consideration. You should complete the slip below and return it to your employee to confirm your receipt of the withdrawal notice.

----- ✂ -----
Cut this slip off and return it to your employee in order to confirm your acceptance of their request.

Employer's Confirmation of Withdrawal (to be completed and returned to employee)	
Employee Name: _____	Employee No. _____
Address: _____	
Postcode: _____	
I confirm that I received notice that you wish to withdraw your application for flexible working which you submitted to me on (date) _____.	
Under the right to apply, you will not be eligible to submit another application until twelve months after the above date.	
From: _____ (Manager)	Date: _____